



Simplifi Compliance Software User Manual

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For use with Simplifi compliance software products:

- Simplifi Legal Register
- Simplifi Guidance
- Simplifi Aspects Register
- Simplifi Audits
- Simplifi Risk Register
- Simplifi Calendar
- Simplifi Reports
- Simplifi Governance

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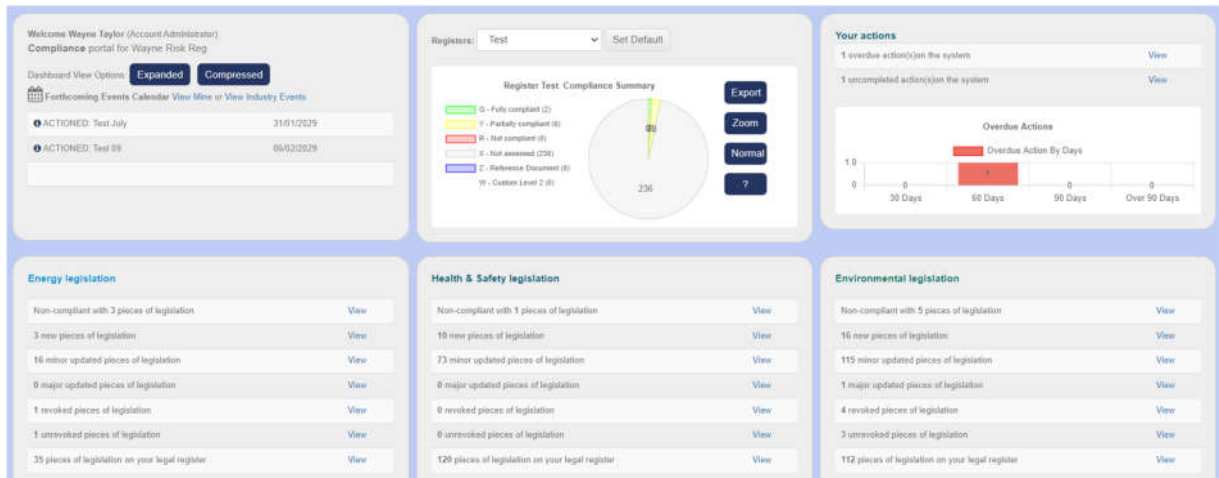
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Homepage



The purpose of this Homepage Dashboard is to provide an overview of your current compliance status, Allow the user to select Legal Registers, view up and coming events, overdue actions view new and amended items of legislation and other requirements.

There is an option to show a compressed view or an expanded view of the Homepage

1.1 Selecting Registers

If you have more than one legal register you can select the register you wish to view, using the drop-down box -“Registers” If this is the register you wish to work on by default, select the “Set as Default” option and this register will be loaded each time you log into the system.

1.2 Legislation boxes

The home page will show legislation boxes for each legislation type (Energy, Health and Safety, Environmental) depending on the register being viewed. Some items may fall into more than one category.

Displayed, within the boxes will be counters, that show how many items are currently assigned the “Non-compliant” or “Partially compliant” status, how many new items of legislation have been added to the Simplifi Library since last reviewed, the number of items actually on your legal register and any major and minor amendments. Revoked and unrevoked items of legislation will also be displayed within the Legislation boxes.

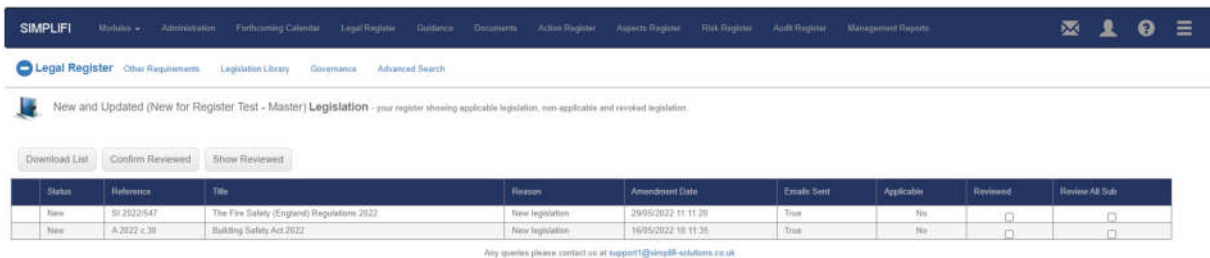
1.3 Actions

This box will only be visible if you have the Simplifi Actions module included in your subscription and is an overview of actions that have become overdue and may require your attention.

1.4 New and Amended Legislation

“New legislation” is added to the system automatically and is included in your “Legal Register” or the Not Applicable section based on your register profile (see 4.1). All new legislation items will be shown on the counter on the home page to ensure users are aware they need to be reviewed. These can be viewed by double clicking the text within that line and will remain in the new legislation table until they have been marked as reviewed.

Amendments are added into the original, primary piece of legislation and are referenced within the Amendments section of the overview page of the legislation



The screenshot shows the Simplifi Legal Register interface. At the top, there is a navigation bar with various modules. Below it, the 'Legal Register' section is active, showing a table of new and updated legislation. The table has columns for Status, Reference, Title, Reason, Amendment Date, Email Sent, Applicable, Reviewed, and Review All Sub. Two items are listed: 'The Fire Safety (England) Regulations 2022' and 'Building Safety Act 2022'. Both are marked as 'New' and 'Applicable'. The 'Reviewed' column has checkboxes, and the 'Review All Sub' column has a checkbox.

Status	Reference	Title	Reason	Amendment Date	Email Sent	Applicable	Reviewed	Review All Sub
New	SI 2022/547	The Fire Safety (England) Regulations 2022	New legislation	29/05/2022 11:11:29	True	No	<input type="checkbox"/>	<input type="checkbox"/>
New	A.2022 c.30	Building Safety Act 2022	New legislation	16/05/2022 18:11:35	True	No	<input type="checkbox"/>	<input type="checkbox"/>

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Each “New” or “Amended” item is added to this list, as it is automatically uploaded into the Simplifi database. Depending on your Register profile, it will either be added to your “Legal Register” or to the “Not applicable” area. This status will be indicated in the “Applicable” column. The user will always have the ability to manually add or remove any item to or from their Legal Register.

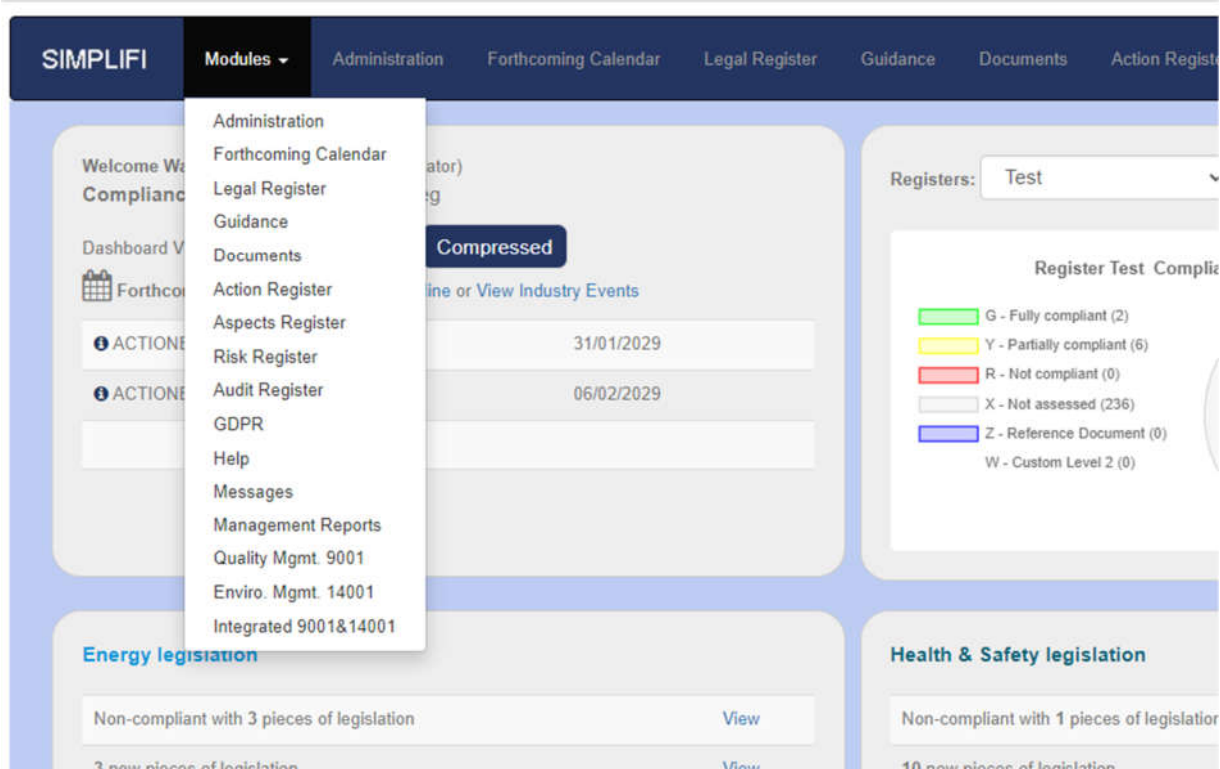
This list allows you to review all “New” and “Amended” legislation and once reviewed, each item can be ticked. Once you have ticked the items which have been reviewed, you can click the “Confirm reviewed items” button which will remove them from the list. If you need to re-view the reviewed items, simply click the “Show reviewed” button.

Note: The end column will allow those users who utilise the Simplifi “Subordinate” register structure to review the selected item for multiple Subordinate Registers.

Any items which haven’t yet been reviewed will be highlighted with a “Red Flag” in the left-hand column of the Legal Register home page. Only after the user has ticked and confirmed reviewed items, will the red flag be automatically removed. This provides a quick and useful visual reminder.

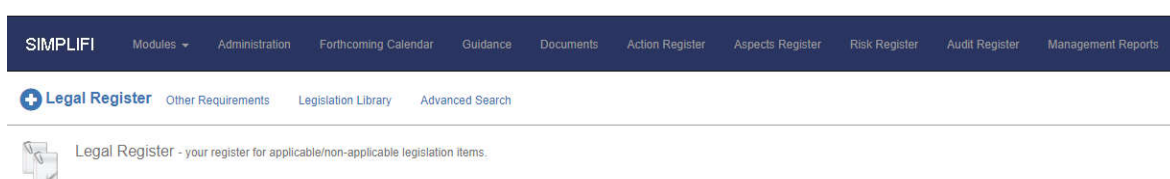
1.5 Modules

Simplifi provides a modular system built around the “Legal Register” function. Depending on the package purchased, some or all of the modules will be available to the user. To access the modules, click on the dropdown menu entitled “Modules”.



You will then be able to access any modules that are live on your account. Any modules not included in your package will display a red text box when hovered over, letting you know that this module is not available, please let Simplifi know if you would like a demonstration or a trial of that particular module.

Once you are logged into any module, including the Legal Register, there is an option to add that module to the toolbar at the top left of the page which provides quicker access. Just click the plus sign, to add the module to the toolbar or the minus sign, to remove as required.



1.6 Tool Bar Icons



The four icons positioned in the top right of your screen along the tool bar allow for shortcuts to different options:

The envelope is a shortcut to the messages module which will display any messages sent to the user from Simplifi. The user can also use this function to send messages to Simplifi, providing the Messages module is available on their account.

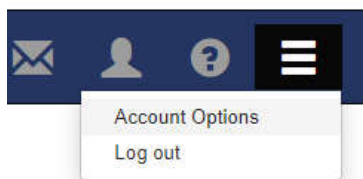
The “person” icon allows you to view and edit your user profile.

The question mark is a shortcut which allows the user to download this user guide.

The three lines “Hamburger” settings icon, as well as allowing a quick “log out” provides a number of account options

The user can activate a "Two Step Authentication" when signing in to their account, this is to help those who wish to add another layer of security to their Simplifi account. Once activated, the system will email a 5 pin verification code to the user, which can then be entered into the box provided on the log in page.

Note: Before activating the additional security, the user should check that their correct email address is logged in their profile, otherwise the verification code will be sent to the wrong email address and the user will be temporarily locked out and will need to contact Simplifi to gain access.



A login form titled 'login' on a dark blue background. It contains four input fields: 'Account' with the value 'Wayne Risk Reg', 'User Name' with the value 'WTaylor', 'Password' with masked characters '*****', and 'Pin Code' which is empty. Below the 'Pin Code' field are two buttons: 'Re-Send' and 'login'. At the bottom, there is a line of small text: 'Logging in constitutes acceptance of T's & C's. View Here. For privacy statement View Here. Are you having problems viewing pages? View Help Here.'

The user can also determine the level of details that they are alerted to on the home page.

When a new piece of legislation or an amendment is added to the Simplifi database, the legislation team member is asked to save as a “minor” or “major” change.

If the user wishes to view all legislation updates, they can specify this within the “account options” settings if they wish to view only the “Major” updates, this option can also be set here.

Users can also choose to have related Guidance appear linked to the Legislation in the Legal Register view. The Guidance module needs to be active on the account for this option to be available.

An Option to have compliance charts displayed or hidden on the home page is available here. This will show charts for each discipline of legislation and the levels of compliance / None compliance/ not assessed either in numbers or percentage format.

There are options related to the Actions and action tracking here. The user can choose to have any items of legislation which are linked to an action, automatically be changed to “Non-Compliant” if that action becomes overdue.

Countdown alerts for actions with a “target completion” date can be configured here.

Options for Account: Wayne Risk Reg

View Minor Amendments to legislation in my dashboard:

Yes ▾

View Major Amendments to legislation in my dashboard:

Yes ▾

Activate Account Two Factor Authentication:

No ▾

Show linked Guidance in Registers (if available):

Yes ▾

Administrator Account Options:

Overdue Actions Become Non-Compliant:

No ▾

All Actions E-Alerts Follow The Countdown Profile:

No ▾

Actions E-Alerts Countdown Profile:

14,2,0

(Days separated by comma (Highest First) e.g. 14, 2, 0 will generate 3 emails on day 14, 2 and 0 before the due date)

User Options: Wayne Taylor (Account Administrator)

Activate User Two Factor Authentication:

No ▾

Show Home Page Charts:

Yes ▾

Home Page Charts Values Format:

Value ▾

Home Page Charts Display Values On Chart:

No ▾

Email When Relevant Guidance is Updated

Yes ▾

Save

The user can also choose to receive email alerts when items of Guidance are updated within Simplifi.



If the Actions module is active on the account, the user can set “Countdown” alerts to be sent via email when target completion dates are approaching, as a reminder. They can also choose for an item of legislation to automatically show as non-compliant if any related actions become overdue.

2 Administration

The Administration area allows you to configure individual modules and set your own parameters and descriptions. It will also inform you what modules are active in your account and how many user permissions you have on your account and how many of these individual user permissions have been used. This feature is only available to an “Account Administrator”.

User profiles can be edited within the Administration area. This is where “Username” and “Password” changes can be made, “read – only” or editing permissions for specific registers are configured and email alerts are switched on or off, depending on each user’s requirements.

2.1 Users

The users tab allows the “Account Administrators” to set permissions for other users on the system as well as restrict their access and to set up new “user” details. “Users” can have their permissions set for each legal register using the drop-down menu next to the user’s name and the Account Administrator can assign, for all legal and aspects registers, if subscribed.

The user rights can be set as follows:

None, Read only, Read only (and comment), Read and Write.

2.2 Action Types and Departments

This feature is only available when the Simplifi Actions module is active. It allows the “Account Administrator” to define action types, such as: Health and Safety, Environmental, Operational, Financial. Departments such as Procurement, Warehouse, Quality, etc can also be configured.

To add a “Department” or “Action” Type:

1. Select either “Action Types” or “Departments” from the menu.
2. Select “Add new” button.
3. Type in the desired title and click insert
4. Types and Departments can then be edited or removed if needed.

Once these definitions have been added within the “Administration” area, they will appear in the relevant dropdown menu, which is displayed, when setting an “Action” either in the Actions module or when creating an action related to a specific item of legislation.

Action Types
This page allows you to define action types that will be assigned and used to group actions.

Action Type	
Environmental	<input type="button" value="Edit"/> <input type="button" value="Delete"/>
Financial	<input type="button" value="Edit"/> <input type="button" value="Delete"/>
Health and Safety	<input type="button" value="Edit"/> <input type="button" value="Delete"/>
Operational	<input type="button" value="Edit"/> <input type="button" value="Delete"/>
Strategic	<input type="button" value="Edit"/> <input type="button" value="Delete"/>

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2.3 Legislation Compliance Levels

The compliance definitions are set as a default within the software:

Green: “Fully compliant”, Yellow: “Partially compliant”, Red: “Non-compliant”, Grey: “Not assessed”.

There is an option within the “Administration” area to add more colours and compliance definitions. For example, you may wish to add a definition: “For information only” This could be used for any item you wish to include within your “Legal register” that is not critically important or always relevant.

Compliance Levels

Compliance Level	Display Text		Disabled Highlight Colour
Full Compliance	Fully compliant	<input type="checkbox"/>	<input type="text" value=""/>
Partially Compliant	Partially compliant	<input type="checkbox"/>	<input type="text" value=""/>
Non Compliant	Non-compliant	<input type="checkbox"/>	<input type="text" value=""/>
Not Reviewed	Not assessed	<input type="checkbox"/>	<input type="text" value=""/>
Admin Defined	For information only	<input type="checkbox"/>	<input type="text" value=""/>

2.4 Risk Definitions

This section allows the account administrator to define what the “Risk factors” mean in the legal compliance section of the Legal Register. Using the drop-down box and selecting Edit, will



allow the Account Administrator to create their own parameters and descriptions which will then be available in the “Risk rating” drop down menu, within the compliance section of the Legal Register.

The default scale runs from 1 to 10 but can be expanded or reduced. The descriptions / parameters can be as simple or as complex as is required. For example, an organisation with high risk or complex processes may require a description for each of the 10 entries. Number 10 may be “Close down all operations” Number 9 may be “Cease operations in certain departments” and so on, down the scale. Whereas an organisation with simple and relatively low risk processes and activities might only use the first four entries in the scale and have a structure along the lines of, 0 – No risk, 1- Low risk, 2- Medium risk, 3- High risk.

Risk Level	Definition	Usage Count	Action
0	Zero risk	14	Select
1	Low risk	10	Select
2	Medium risk	6	Select
3	High risk	0	Select
4		0	Select

2.5 Audit Check Lists and Definitions

These options are for use with the “Audit” module and enable the user to create multiple audit types and related checklists in order to conduct and record internal audits.

Please refer to the Audit Register section of this Manual for a detailed explanation of these options.

2.6 Risk Register Options and Descriptions.

The remainder of options within the Administration section are only associated with the “Risk Register” module and provide configurable and variable preferences within the Risk Register. Please see the section on the Risk Register for detailed information but to clarify, those options are below:

Risk Activity Categories

Risk Activity Definitions

Risk Control Types

Risk Business Types

Risk Controls

Risk Probability Definitions

Risk Severity Definitions

Risk Control Level Definitions

Risk Rating Definitions

3 Forthcoming Calendar

The Forthcoming calendar module displays a calendar view as to what is happening within the world of policy and legislation and displays information about events occurring in the future, this includes new pieces of legislation that are coming into force and public consultations in which the user may want to be involved. A user can also add their own events to the calendar, such as scheduled audits or regulatory visits.


Users can click the arrows at the top of the calendar to scroll through the months.


Note: those users who have the “Actions Module” included, will see actions appear in the calendar according to their target completion date.

Any entry, when hovered over with the mouse, will display a brief description of that entry.

If the entry is “clicked, a pop-out box will appear, showing the description and a link to that item will be displayed, if available.

An ical option is provided for any users who wish to link to Google or Outlook calendars.


Forthcoming Calendar
[Event Details](#)


Forthcoming Calendar - showing upcoming legislation, regulations, consultations and events.

Create new event

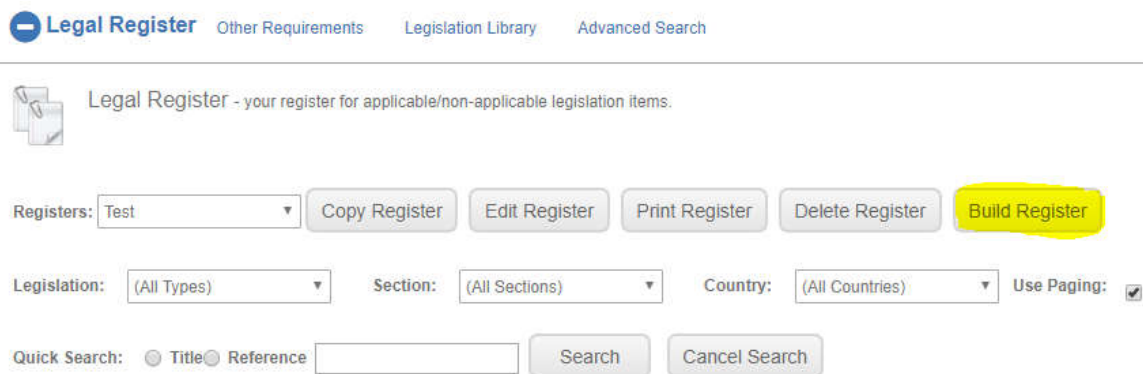
November 2018				
Monday	Tuesday	Wednesday	Thursday	Friday
29	30	31	<div>Coming into for...</div> <div>Coming into for...</div>	2
5	6	7	8	9
12	13	14	<div>Consultation cl...</div>	16
<div>Consultation cl...</div>	<div>Coming into for...</div>	21	22	23

4 Legal Register

The legal register section of the software is a powerful tool which helps the user identify applicable legislation, understand it and fully manage their organisations compliance with it.

4.1 Building a Register

To build your Legal Register, navigate to the Legal Register section and click the button that reads “Build register”



The screenshot shows the 'Legal Register' section of the software. At the top, there is a navigation bar with a blue minus icon, 'Legal Register' (highlighted), 'Other Requirements', 'Legislation Library', and 'Advanced Search'. Below this, there is a sub-header 'Legal Register - your register for applicable/non-applicable legislation items.' followed by a document icon. The main area contains a row of buttons: 'Registers:' with a dropdown menu showing 'Test', 'Copy Register', 'Edit Register', 'Print Register', 'Delete Register', and 'Build Register' (highlighted in yellow). Below this row are three dropdown menus: 'Legislation:' with '(All Types)', 'Section:' with '(All Sections)', and 'Country:' with '(All Countries)'. To the right of these is a 'Use Paging:' checkbox which is checked. At the bottom, there is a 'Quick Search:' section with radio buttons for 'Title' (selected) and 'Reference', a text input field, and 'Search' and 'Cancel Search' buttons.



This will take you to the register builder, where you will need to give your register a name and choose the discipline(s) of legislation – Environmental, Energy and Health & Safety and countries you wish to be included.



Register Builder.

Wizard for building your legislation register

NOTE: The register name will automatically have the Company Name and the Register Type prefixed.



Register Name:

Test

Example: If a company called MyCo Ltd has a legal register with the name of "Leeds Production Facility" it will appear as:

"MYCO LIMITED LEGAL REGISTER LEEDS PRODUCTION FACILITY"

☐ Add Mode

- Allows you to add extra legislation types, countries and tick additional questions without losing entries.
- If you add new Legislation Types or Countries you will not be able to remove them

Legislation Type

☒ Energy

☒ Environmental

☒ Health & Safety

☐ ISO

Countries

☒ England

☐ N.Ireland

☒ Scotland

☐ Wales

Next

Cancel

Click "Next" and this will navigate you to the "Register Builder". This is a profiling wizard which utilises a series of questions and related question cards. The user works through the initial layer of questions, ticking the options which apply to their organisation. (The questions have "help" attached which appears when the question mark is hovered over with a mouse.)



Register Builder.

Wizard for building your legislation register

- | | | |
|-------------------------------------|---|--|
| <input checked="" type="checkbox"/> | Does your business use, store, handle or sell any: <ul style="list-style-type: none">• ozone-depleting substances or• fluorinated green house gases? | |
| <input type="checkbox"/> | Do you operate any chimneys, furnaces, Small Heating Installations or Major Combustion Plants? | |
| <input type="checkbox"/> | Is your business located in: <ul style="list-style-type: none">• a smoke control area or• an air quality management area (AQMA)? | |
| <input type="checkbox"/> | Are you applying for ISO9001 certification | |
| <input checked="" type="checkbox"/> | Do you pay Climate Change Levy?* | |
| | <small>* It is likely that this is paid through your energy bills instead of being collected separately.</small> | |
| <input type="checkbox"/> | Are you required to make a consent for planning permission in regard to a building, development or storage of substances? | |
| <input checked="" type="checkbox"/> | Are you managing renting, buying or selling a building to or from another party? | |
| <input checked="" type="checkbox"/> | Do you operate an industrial installation? | |
| <input type="checkbox"/> | Do you use, store or handle any dangerous substances? | |
| <input type="checkbox"/> | Do you manufacture, supply, store, transport or import/export any chemicals or dangerous substances? | |

Once the first layer of questions is completed, the “Next” button should be clicked. This will display a series of “question cards”. These cards contain further questions which are designed to “drill down” and gather further information about the organisation which allows the wizard to create a bespoke profile. It is this profile which determines what legislation is included within your legal register. (The number of question cards depends on which options were ticked within the first layer of questions.)

Once you have completed all the cards and questions, click “Finish” and the Simplifi wizard will automatically build a bespoke Legal Register.



Register Builder.

Wizard for building your legislation register



card 1 of 24: Does your business use, store, handle or sell any ozone-depleting substances or fluorinated greenhouse gases?

<input checked="" type="checkbox"/>	Does your business use, store, handle or sell any ozone-depleting substances?	
<input checked="" type="checkbox"/>	Do you import or export ozone-depleting substances?	
<input type="checkbox"/>	Do you use heat pump equipment, refrigeration or air-conditioning equipment?	
<input type="checkbox"/>	Does your business use any equipment containing fluorinated greenhouse gases?	

There may be the need to fine tune the “Legal Register”. The profiling wizard does most of the work in collating the relevant legislation, however, the user is responsible for what items of Legislation are relevant and included and the user has the ability to manually remove or add items to the Legal Register where necessary.

Note: Simplifi strongly recommend that ‘as a minimum’ an organisation’s HSE representative should re-visit the profiling wizard preferably once or twice per annum. As an organisation structure may have changed, mergers, acquisitions, new processes or working practices will require a re-visit to the profiling wizard. Working through and checking the question set regularly will ensure that the wizard is made aware of an organisation’s changed profile and will account for these changes in the bespoke Legal register. *It is the user and the information they provide that is responsible for what items of Legislation will be included.*

4.2 The legal register view.

The home page of the legal register shows the list of legislation which can be viewed as one long list or as a ‘paged’ structure. The list is divided into columns which display the Section Heading, Title, Reference, Date last updated” (by the Simplifi team), the “Compliance status”, the “Risk Rating” and the Relevance rating”. There is a “view” button for each item, allowing the user to access and view each piece of legislation.

At the top of the Legal Register page, are various buttons and dropdown menus to help filter the legislation and to view different registers, where multiple registers are included on an account.



Legal Register Other Requirements Legislation Library Governance Advanced Search

Legal Register - your register for applicable/non-applicable legislation items.

Loaded Register: **Test**

Registers: **Test**

Legislation: Section: Country: Use Paging: ☒

Quick Search: ☒ Title ☐ Reference

Move selected to Not Applicable

Section	Title	Reference	Last Updated	Last Reviewed	Compliance	Action / Select
Air	Air Quality Regulations (Northern Ireland) 2003 (SR 2003/342)	NR1.14	14 Jul 2013			<input type="button" value="View"/> <input type="checkbox"/>
Air	Clean Air Act 1993	A 1993 c11	20 Dec 2016			<input type="button" value="View"/> <input type="checkbox"/>
Air	Climate Change (Scotland) Act 2009 (ASP 2009/12)	SA1.01	15 May 2015			<input type="button" value="View"/> <input type="checkbox"/>
Air	Climate Change Act 2009 (c. 27)	A 2009 C27	07 Feb 2023	23 Jun 2023		<input type="button" value="View"/> <input type="checkbox"/>
Air	Motor Vehicles (Construction and Use) Regulations (Northern Ireland) 1999 (SR 1999/454)	NR1.11	13 Jul 2013			<input type="button" value="View"/> <input type="checkbox"/>
Air	The Climate Change Agreements (Eligible Facilities) Regulations 2012	R1.62	13 Jul 2016	23 Mar 2023		<input type="button" value="View"/> <input type="checkbox"/>

The button “copy register” is for creating a “Subordinate Register” and will only appear as an option when an account subscribes to that functionality. The button called “Edit Register” will bring you back to the profiling wizard. The button “Print Register” will create a PDF report of your register and provides various filters to enable the user to create tailored reports. The button “Delete Register” **will delete the register**: a warning will pop up first to make sure you definitely wish to delete that register.

The “Register Options” button provides a number of configurable options which allows the user to tailor the compliance area of the legislation view as detailed below. The user can change the name of the register and can choose to show or hide elements that they may wish to use or not use:

Legal Register - your register for applicable/non-applicable legislation items.

Registers: **Test**

Options for Register: Test

Name:

Use Risk Factor:

Use Relevance: Number Scale or Yes/No:

Use Notes:

Use Risk:

Use Opportunities:

Legislation: Section: Country: Use Paging: ☒



Underneath the row of buttons, there are filters to allow a user to view only Environmental, or only Scottish legislation or to filter sections such as “air”, “waste” or “chemicals and dangerous substances”.

Underneath the Dropdown menus, is located a search facility. Items of legislation can be searched for, by title or reference. Once found, an item may appear, either in the “Legal Register” tab or in the “Not Applicable” tab.

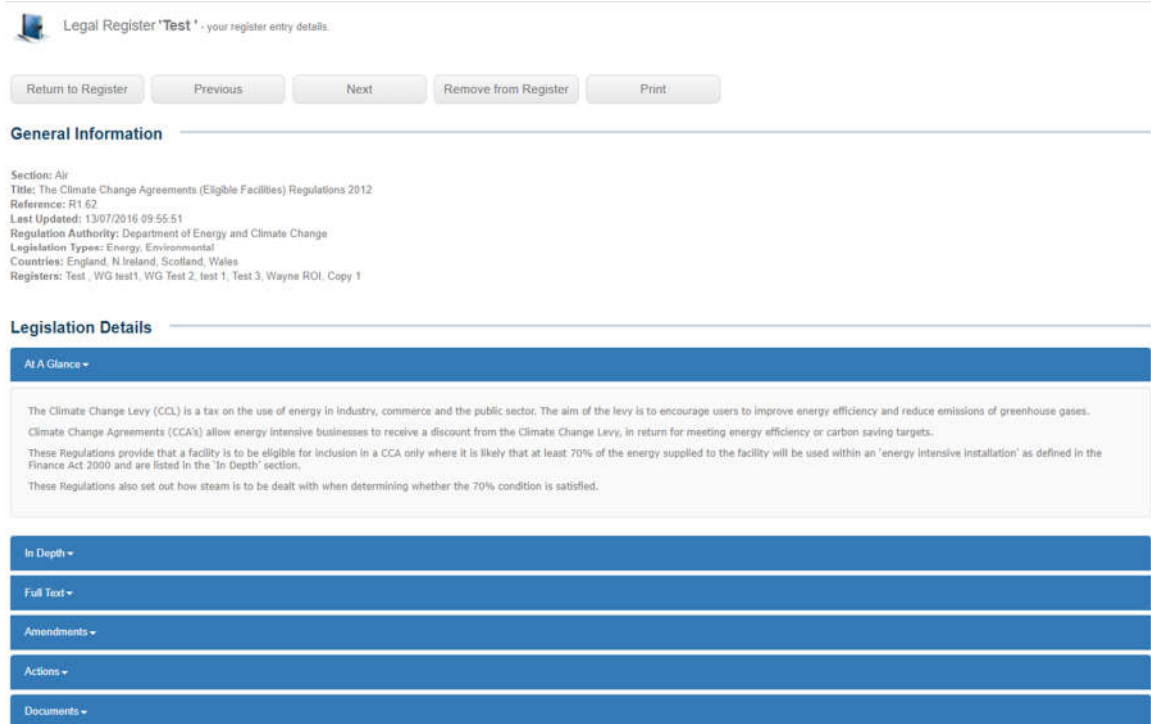
The Tabs appearing under the “Search” facility are divided into “Register”, “Not applicable”, “Revoked” “other” and (if the Actions module available on the account,) “Actions” Every item of Legislation, within the Simplifi Legislation Library, that does not appear on the Legal Register list, can be found within the not applicable tab. All revoked items that have been revoked by the Simplifi legislation team are found within the “Revoked” section. The “Other” tab is for anything the user may wish to include as part of their overall evaluation of compliance that isn’t necessarily legislation. For example: Industry specific work permits, the organisations own procedures or client’s requirements. Actions will show any actions from the Actions Register that are associated with any items of legislation.

Users will note there is a new feature for those who have the Guidance module on their account. Whilst users have always had the ability to link any related Guidance with items of legislation, this useful option has always been a manual process. Over the coming weeks and months, users will notice more and more items of guidance being automatically linked to the legislation as the Legislation team work through the Database:

Air	Motor Vehicles (Construction and Use) Regulations (Northern Ireland) 1999 (SR 1999/454)	NIR1.11	13 Jul 2013				View <input type="checkbox"/>
Air	The Climate Change Agreements (Eligible Facilities) Regulations 2012	R1.62	13 Jul 2016	16 Aug 2022			View <input type="checkbox"/>
Air	The Climate Change Agreements (Energy-intensive Installations) Regulations 2006 (SI 2006/59) (Guidance Available) Legislation Guidance - A short introduction to the CRC Energy Efficiency Scheme.pdf Legislation Guidance - CRC Climate Change Agreement Exemptions.pdf Legislation Guidance - Annual report guidance.pdf Legislation Guidance - Conversion and emission factors guidance.pdf Legislation Guidance - Electricity generation guidance.pdf Legislation Guidance - Glossary of terms.pdf	R1.19	22 Jul 2009	16 Aug 2022			View <input type="checkbox"/>
Air	The Climate Change Levy (General) Regulations 2001 (SI 2001/630) (Guidance Available) Legislation Guidance - CC2 - Climate change some key facts and figures.pdf Legislation Guidance - Climate Change Levy rates.pdf	R1.12	09 Jun 2021	03 Nov 2022			View <input type="checkbox"/>
Air	The Controls on Ozone-Depleting Substances Regulations (Northern Ireland) 2011	NIR1.21	15 Jul 2013				View <input type="checkbox"/>
Air	The Fluorinated Greenhouse Gases Regulations (Northern Ireland) 2009 (SR 2009/184)	NIR1.19	18 Mar 2014				View <input type="checkbox"/>
Air	The Greenhouse Gas Emissions Trading Scheme Auctioning Regulations 2021	SI 2021/484	04 Aug 2021				View <input type="checkbox"/>
Air	The (Cross-Border) Scholastic (Qualifications) Regulations (Northern Ireland) 2011	NIR1.22	15 Jul 2013				View <input type="checkbox"/>

4.3 Legislation overview page.

Each item on the Legal Register (and in the “Not applicable” section) has an option to view and whenever the view button is clicked, it takes the user to the overview page:



Legal Register "Test" - your register entry details.

Return to Register Previous Next Remove from Register Print

General Information

Section: Air
Title: The Climate Change Agreements (Eligible Facilities) Regulations 2012
Reference: R1 62
Last Updated: 13/07/2016 09:55:51
Regulation Authority: Department of Energy and Climate Change
Legislation Types: Energy, Environmental
Countries: England, N.Ireland, Scotland, Wales
Registers: Test , WG test1, WG Test 2, test 1, Test 3, Wayne ROI, Copy 1

Legislation Details

At A Glance

The Climate Change Levy (CCL) is a tax on the use of energy in industry, commerce and the public sector. The aim of the levy is to encourage users to improve energy efficiency and reduce emissions of greenhouse gases. Climate Change Agreements (CCAs) allow energy intensive businesses to receive a discount from the Climate Change Levy, in return for meeting energy efficiency or carbon saving targets. These Regulations provide that a facility is to be eligible for inclusion in a CCA only where it is likely that at least 70% of the energy supplied to the facility will be used within an 'energy intensive installation' as defined in the Finance Act 2000 and are listed in the 'In Depth' section. These Regulations also set out how steam is to be dealt with when determining whether the 70% condition is satisfied.

In Depth

Full Text

Amendments

Actions

Documents

This “Overview” page has the same format for each piece of legislation within the Simplifi system. At the top, are some navigational buttons, which allow the user to return to the home page of the register or view the next or previous item. There is also an option to “remove” that item from your Legal Register if required or to print the item. *When viewing items in the “Not applicable” section the “Remove from register” button will read “Add to register”*

Simplifi provide two summaries for each item of legislation as well as the full text. The first summary is a very brief “At a glance” description of the legislation. The next summary is a more detailed commentary called “In depth” and the user can also view the full text of each item. Each of these options can be accessed by clicking anywhere in the blue bars.

The “next” option on the blue bar underneath “full text”, is an option to view any amendments to that particular item of legislation.

All amendments are added into the original item and referenced within this area with a clear explanation. On the rare occasion where the Amendment is a very large item, they are added as a “stand alone” piece and this will be clearly referenced.



The option, “Actions” will only be available if the “Actions” module is active on the account and allows a user to associate an action with an individual item of legislation. For more details, please see the Actions module below.

The last blue bar is entitled “Documents” and when clicked, provides the user with an option to add a document and/or add a Guidance paper or a link. If a user clicks either “Add Document” or “Add Guidance” they will be taken to the respective module, where they can choose, either a document or a guidance paper which will then be attached to the item of legislation they are currently viewing.

This could be for the purpose of providing evidence of compliance or supporting documentation or an associated Guidance paper, which assists with information on how to comply with that item of legislation. As detailed above, eventually all the Guidance will automatically be linked to the relevant legislation.

The final and most important area on the overview page is the “Compliance scoring” section. Here a user evaluates the organisation’s compliance with the item of legislation. The default options are: “Compliant”, None Compliant” and “Partially Compliant”. These compliance options can be changed or added to, within the administration area as detailed above.

Once the compliance status has been ticked, there is an option to add notes. There is also a Risk Scale and a Relevance Scale which can be configured in the Administration area, as well as an opportunity to capture and record any “Risks” or “Opportunities” related to that item of legislation.

If the user wishes to display on the home page, a record of when the last transaction was completed on that item of legislation, there is an option to tick the “Update reviewed date” box. The last reviewed date will then be displayed on the home page of the Legal Register.

My Compliance

☐ Not assessed ☐ Not compliant ☐ Partially compliant ☒ Fully compliant ☐ Custom Level

Risk Factor

Relevance Factor

Add Note

Risk

Opportunities

Last Reviewed: 06/05/2020 ☐ Update Reviewed Date

Notes

Type	Date Created	Note	Risk	Opportunities	Creator
Master	06 May 2020 14:47:45	Document was reviewed (Risk level unchanged) (Relevance level unchanged)			Wayne Taylor
Master	06 May 2020 14:47:45	Document was reviewed (Risk level unchanged) (Relevance level unchanged)			Wayne Taylor



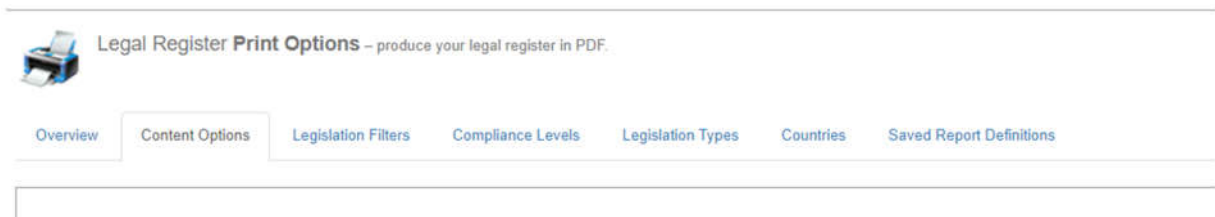
Any changes made in this area, will be saved, once the “Commit Changes” button has been clicked. Each transaction is then recorded with the username, the date, and the time which provides a valuable audit trail.

As we saw earlier, the compliance status, and the risk and relevance ratings, as well as the “Last reviewed” date are all displayed on the home page of the register, creating a visual tool which allows the user to identify quickly, any areas that require attention each time they log onto the Legal Register view.

4.4 Print Register

The print register button on the Legal Register “Home page” will allow you to create a “PDF” or Word version of your legal register. When clicked, you will be taken to a page where you can select what you would like to include in the report:

You will notice 7 tabs headed in blue text:



The first is Overview and allows the user to choose the register from which the report should be produced and also provides an option to add Author Comments/Preface/Introduction

The second tab is Content Options and allows the following options:

Performance summary: This will provide a Table summary showing the breakdown of Compliant, Non- Compliant, Partially compliant and not assessed for each category of legislation

Legislation summary: This will create a report with the details from your legislation summary page.

“At a glance”: This will include the at a glance summary of legislation within your register.

“In depth”: This will include the in-depth summary of legislation within your register.

“With comments”: This will include the comments from your compliance notes. It will also provide the option to include the latest note only.

“Related documents”: This will provide a summary of documents attached to each legislation.

Forthcoming event: This will create a report of events from the forthcoming calendar up to the date specified



The third tab is Legislation Filters. This option allows the user to filter legislation from a date range, E.G legislation published from 1st November 23 to 1st March 24.

Within this tab there is also an option to filter the report to include only legislation that has Risks and /or Opportunities recorded against it.

The fourth tab is compliance levels and allows the legislation to be filtered by compliance status: “Compliant”, “None-compliant” or “Partially compliant”.

The fifth tab allows the user to choose which types of legislation they wish to include, Health & Safety, Environmental, Energy.

The sixth tab allows the user to choose which countries the legislation should be included from – England, Scotland, Northern Ireland and Wales (Republic of Ireland legislation is also available).

The Seventh and final tab is called Saved Report Definitions.

This area allows Report templates to be saved updated and loaded so that a user doesn’t have to go through all of the filter options each time they wish to print their register.

Multiple templates can be stored and reused. In the below example a report called monthly meetings has been saved to be used again in the future:

The Reports can be printed in Word, PDF or Summary (CSV) formats and if the user has multiple registers, they can merge the registers so that only one report is necessary.

The screenshot shows the 'Legal Register Print Options' interface. At the top, there's a navigation bar with links: Legal Register, Other Requirements, Legislation Library, Governance, and Advanced Search. Below this, a sub-header reads 'Legal Register Print Options -- produce your legal register in PDF.' A printer icon is also present. The main area has several tabs: Overview, Content Options, Legislation Filters, Compliance Levels, Legislation Types, Countries, and Saved Report Definitions (which is currently selected). Below the tabs, a message states: 'When loading an existing Report Definition any Author Overview will also be loaded, but not ticked for inclusion by default'. There's a 'Report Definition Description:' section with a text input field containing 'Monthly Report'. Below this are two buttons: 'Save Report Definition' and 'Update Report Definition'. Further down, a section titled 'Current Saved Report Definitions:' contains an empty list box. At the bottom of this section are three buttons: 'Load Report Definition', 'Delete Report Definition', and 'Reset To Default'. At the very bottom of the interface, there's a checkbox labeled 'Merge Selected Available Registers List' followed by four buttons: 'Generate (PDF)', 'Generate (Word)', 'Summary (CSV)', and 'Cancel'.

4.5 Legislation library

The Legislation Library is a list of all legislation within the Simplifi database. It allows you to view all legislation together regardless of whether it is in your “Legal Register” or in the “Not Applicable” section. The review column gives you the opportunity to review items that haven’t been added to your legal register. You can add notes to explain why or how the item of Legislation is/are not applicable.

Legislation Library - your view of all legislation currently in system

Legislation type: (All Types) Section type: (All Sections) Country: (All Countries)

Quick Search: Title Reference Search Cancel Search Use paging

Reference	Title	Registers	Status	Review	Reviewed	Review Comment
A2.01	Building Act 1984 (c.35)	0	Active	Review		
A2.02	Town and Country Planning Act 1990 (c. 8)	0	Active	Review		
A2.03	Planning (Listed Buildings and Conservation Areas) Act 1990 (c. 9)	4	Active	Review		
A2.04	Planning (Hazardous Substances) Act 1990 (c. 10)	0	Active	Review		
A2.05	Planning (Consequential Provisions) Act 1990 (c. 11)	0	Active	Review		
A2.06	Planning and Compensation Act 1991 (c. 34)	0	Active	Review		
A2.07	Planning and Compulsory Purchase Act 2004 (c. 5)	0	Active	Review		
A2.08	Planning Act 2008 (c.20)	1	Active	Review		
A2.09	Housing and Regeneration Act 2008 (c. 17) Part 1	0	Active	Review		
A3.01	Petroleum (Consolidation) Act 1928 (c.32)	1	Active			
A3.02	Environmental Protection Act 1986 - Part IV (EMCs)	1	Active			
A3.03	Registration, Evaluation, Authorisation and Restriction of Chemicals (REACH) 2006 (1807/2006/EC)	12	Active			
A3.04	RoHS Directive Act 1875 (c. 17)	8	Active			

5 Guidance Module

The Guidance module is a library of “Guidance” documents created from a range of sources and regulating authorities. It can also be used as a library of the user’s own documentation using the “Upload” feature. It is divided into similar sections to the Legislation to make it easy for you to find what you need as well as including some additional sections such as EMS.

The guidance is from a range of sources including Government departments, European Union, Non-Government Organizations and industry professionals.

As detailed in the Legal Register section, a new feature of Simplifi will be Guidance automatically linked to the relevant legislation:

Air	Motor Vehicles (Construction and Use) Regulations (Northern Ireland) 1999 (SR 1999/454)	NIR1.11	13 Jul 2013				View <input type="checkbox"/>
Air	The Climate Change Agreements (Eligible Facilities) Regulations 2012	R1.62	13 Jul 2016	16 Aug 2022			View <input type="checkbox"/>
Air	The Climate Change Agreements (Energy-intensive Installations) Regulations 2006 (SI 2006/59) (Guidance Available) Legislation Guidance - A short introduction to the CRC Energy Efficiency Scheme.pdf Legislation Guidance - CRC Climate Change Agreement Exemptions.pdf Legislation Guidance - Annual report guidance.pdf Legislation Guidance - Conversion and emission factors guidance.pdf Legislation Guidance - Electricity generation guidance.pdf Legislation Guidance - Glossary of terms.pdf	R1.19	22 Jul 2009	10 Aug 2022			View <input type="checkbox"/>
Air	The Climate Change Levy (General) Regulations 2001 (SI 2001/838) (Guidance Available) Legislation Guidance - CC2 - Climate change some key facts and figures.pdf Legislation Guidance - Climate Change Levy rates.pdf	R1.12	09 Jun 2021	03 Nov 2022			View <input type="checkbox"/>
Air	The Controls on Ozone-Depleting Substances Regulations (Northern Ireland) 2011	NIR1.21	15 Jul 2013				View <input type="checkbox"/>
Air	The Fluorinated Greenhouse Gases Regulations (Northern Ireland) 2009 (SR 2009/104)	NIR1.19	18 Mar 2014				View <input type="checkbox"/>
Air	The Greenhouse Gas Emissions Trading Scheme Auctioning Regulations 2021	SI 2021/404	04 Aug 2021				View <input type="checkbox"/>
Air	The Ozone-Depleting Substances (Qualifications) Regulations (Northern Ireland) 2011	NIR1.22	16 Jul 2011				View <input type="checkbox"/>



Guidance [Upload Guidance](#) [Search](#)



Compliance **Guidance** - comprehensive range of compliance related guidance documents.

Guidance

Upload

Delete

Delete Folders

Search

Clear

Advanced Search

- ACOPs
- Air
- BATS (Best Available Techniques)
- Buildings and Planning
- Chemicals and Dangerous Substances
- Conservation
- E.U. Directives
- EMS
- Energy
- Environmental Permitting and Pollution
- ESOS
- Health and Safety Guidance
- Land
- Marine and shipping
- My Management Files
- Noise and Statutory Nuisance
- Offshore



6 Documents Module

This section allows the user to upload documents and files which can be stored and accessed easily.

To upload your own documents, select the “Upload” button, which will then navigate you to the upload page. Initially, you can only upload to the My management files folder, however by selecting this folder you will be able to create sub-folders in order to organise your uploads. By selecting the “Choose” button you will then be able to navigate to where your documents are stored and upload them into the system.

Once uploaded, documents can be attached to legislation to demonstrate compliance or to assist in identifying legal requirements.

This module also currently contains our management system templates along with guidance on how to use them. It provides templates, guidance and examples to implement a management system based on the standards ISO 14001 and OHSAS 18001.

These are based on the 2004 standards and Simplifi now provide ISO modules based on the 2015 standards and it is envisaged that the 2004 documents will be superseded in the near future by the new ISO modules.

7 Action Register

The “Action” register allows the user to create and assign any “actions” that are required, as part of their compliance management. “Actions” can be assigned to yourself, a colleague or someone outside the organisation.

An action can be instigated from within the “Action register” module, the “Internal Audit” module or from the “Legislation overview page.” When an action is created within the Legislation overview page, it is automatically associated with that particular item of Legislation.

Actions can also be linked to Aspects recorded within the Aspects Register and individual risks, recorded within the Risk Register.

When an action is created from within the Internal Audit module, it is automatically associated with that non-conformance or opportunity for improvement.

You can assign the action to yourself or any other user in the system. Actions can also be assigned to colleagues who aren’t users on the system by adding their contact details to the “external mailing list” which is contained within the Administration area.

Actions can also be sent to multiple recipients.


To Create an action, select “Create new action” button. Then select who you want to send the action to from the drop – down.

The next options are to select a department and an action type. As we saw earlier these can be configured within the administration area.



The “Action” can then be given a name and description, start date and a target completion date. These details will then be sent to the recipient of the action via email.

[← Action Register](#) [Action Details](#) [Action Comments](#)

 **Action Details**

This is where you define actions and set schedules while associating them to one or more items of compliance. Once completed, click 'Save' at the bottom of the page.

Action Details

Actioner: (send me confirmation emails)
Taylor, Wayne ☐ When a action reminder is sent to the actionee ☒ When an action goes overdue

Actionee: ☐ Multiple Actionee ☒ Email

Select...

Department:
Select...

Type:
Select...

Title:

Description:

Recurring actions can be created by clicking the “Frequency” dropdown menu and selecting the desired frequency. You can choose from the options or specify your own by choosing “in Months”

Frequency:

Once Only

Once Only
Daily
Weekly
Monthly
Quarterly
Biannually
Annually
[n] Months

First entry is at the top

Select Legislation



If the action is created within the Action Register Module, it can still be linked to an item of legislation and/or Aspects and Risks. Once the user has entered the details of the action and assigned a target completion date, they will see an option to “Select Legislation”. Here, they can select the relevant Legal Register and search for the required legislation item by entering the title or key words or phrases.

Once found, the item can be selected and saved.

Actions can be linked to Aspects, Risks and Audits by selecting the relevant option shown below

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Once created an action will appear in the Forthcoming Calendar automatically, if the user has this module available on their account.

Once the target completion date has passed, the originator and the recipient will receive a daily email alert, letting them know the action is overdue.

Note: The email alerts can be disabled or configured by ticking or unticking the relevant email alert options for both the Actioner and the actionee.

Actions can be managed within the Action Register module where there are options to “Close” the “Action” or delete completely, as well as editing any comments or extending the target completion date.



Documents can be added as supporting documentation and as evidence of corrective action when an action status is changed to “Complete”

Select Documents

To relate documents to this action click the AddDocument or AddOudance buttons as appropriate

Add Document

Add Oudance

Select Aspects

Action Register

Action Details

Action Comments

Action Register - contains all of your compliance actions for your account

Actioner: All

Actionee: Select...

Show Closed: ☐

Use paging

Ref	Title	Department	Action Type	Legislation Type	Commence	Complete By	Status	Action
A4	Organics Pallet Storage	Warehouse	Compliance	Environmental	08-May-15	15-May-15	Complete	Select
A8	Policy Review	Warehouse	Operational		01-Mar-16	01-Apr-16	Complete	Select
A43	Policy Review	Warehouse	Operational	Environmental, Energy	15-Mar-17	22-Mar-17	Complete	Select

Create new action

Generate Report

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Actions can be filtered by actioner or actionee and a Report option creates a PDF showing all actions with comments, status, and any associated Legislation. The report can also be filtered by actioner or actionee.

An Action Analysis Report can be accessed by clicking the Blue text at the top of the Action Register page:

Action Register

Action Details

Action Comments

Action Analysis Reports

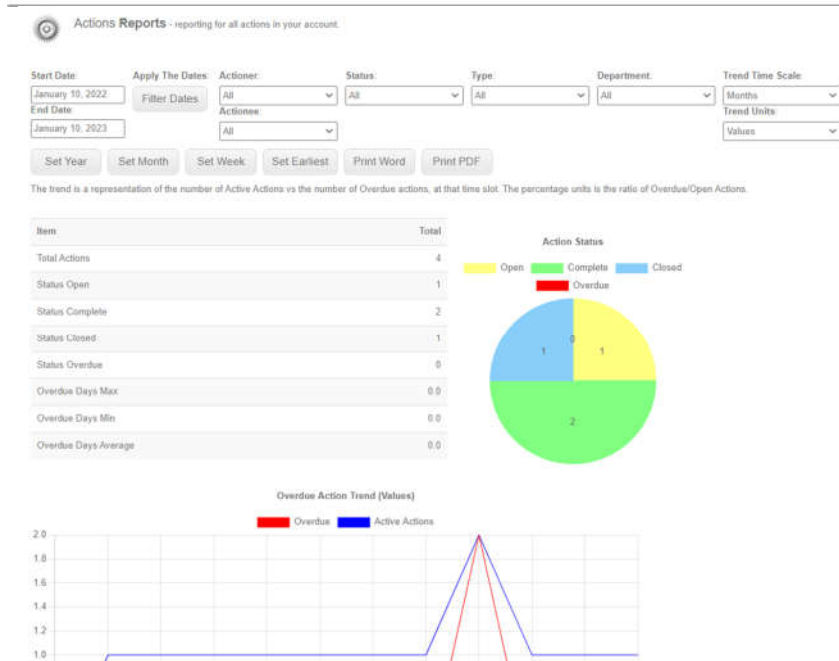
Action Register - contains all of your compliance actions for your account

Actioner: All

Actionee: Select...

Show Closed: ☐

☒ Use paging



This will provide useful data and identify trends, such as number of actions that have been overdue in a specified time period.

8 Aspects Register

The Aspects Register is designed to be used with ISO 14001 management standard and provides a system whereby environmental “Aspects” and “Impacts” can be recorded, scored for significance and associated with relevant Legislation or Guidance.

Additional comments and reviews can also be recorded.

8.1 Creating an Aspects Register.

To build your Aspects Register click the “Build New Register” button. You will then be taken to the register details page, where you will be required to give the register a name for identification in the system. Type the name you require in the box and click the “Save” button.

You can then add categories for your Aspects. Categories can be whatever you need them to be, such as ‘air’, ‘water’, ‘waste’, ‘location’ etc.

Once you have created your register you can add Aspects by clicking the “Add New Aspect” button on the required category page.

You can then assign:



Reference, owner, Aspect name, Description and influence, Impact.

Condition: N = Normal, A = Abnormal, E = Emergency.

You can then Record any controls which have been implemented and the condition in which the controls have been / are applied.

You can also assign a 'significance' score to each aspect which will help prioritise which "Aspects" require urgent attention. (These are usually the highest scoring ones. Scoring is based on:

Legal compliance

Frequency of occurrence

Severity of impact

Likelihood of occurrence

When you click the save button the score will be automatically calculated based on the following method: $(\text{Legal} + \text{Frequency} + \text{Severity}) \times \text{Likelihood} = \text{significance score}$

Build New Register

Your Registers: Test Edit Register Delete Register

Aspects Actions

Category: Air Use paging Filter (Enter key word or phrase) Choose a column: Select... Filter Clear

Ref	Owner	Aspect Name	Description / Influence	Impact	Cond	Control	Control Cond	Legal Comp Score	Sev Score	Likhd Score	Total Score	Action
a1		Emissions 1	Emissions to air Influence:	Air pollution	N	Implement standard ventilation systems	N	3	4	2	22	Select...
a2	Taylor, Wayne	Welding	Welding activities Influence:	Sparks & Fire	N	Implement correct safety measures	N	4	5	1	14	Select...
B	Taylor, Wayne	pollen	high pollen Influence:	Disease	A	Implement standard ventilation systems	N	3	3	3	30	Select...
x4	Taylor, Wayne	test	Test aspect Influence: No influence	Explosions	E	Explosion confinement	E	5	5	1	12	Select...
x1	Taylor, Wayne	Working with electricity	Contact with electricity Influence: Full influence	Contact with electricity which could result in electric shock, burns or fatality	N	Safe system of work by contract partner	N	4	5	1	13	Select...

Add New Aspect Aspects Overview Overview Report Detail Report Category Report Reports To Excel

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If a user wishes to remove the frequency and/or Legal compliance element of the equation, they can click on the "Edit Register" button, this will bring them to the Register Builder area:



Aspects Register Builder

To create a new aspects register enter the register name and click 'Save'. To define or edit a list of category names enter a category name and click add, for each item in the list.

Register Name:

Options for Register: Test

Name:

Use Frequency Score:

Use Legal Compliance Score: Binary Score:

They will see a dropdown option for using the frequency score and the Legal compliance score, once “No” is selected, and the “Save” button clicked, Frequency or Legal Compliance will no longer be included in the matrix.

Columns can be filtered by key words or phrases to assist with sorting for influence levels, conditions, controls and other useful categories.

Once an “Aspect” has been added, you can use the drop-down menu in the right-hand column, to link any relevant items of legislation.

To associate relevant legislation with an aspect, in the Aspects Register view, navigate to the drop-down menu in the far right “Action” column and select “Legislation”

From here, you can select the relevant Legal Register and search for the required legislation item by entering the title or key words or phrases.

Once found, the item can be selected and saved:

Register:

Please select each legislation item to be related to the aspect and then click the 'Add Legislation' button.

Filter (Enter key words or phrase):

- ☐ 123: Test
- ☐ A3.03: Registration, Evaluation, Authorisation and Restriction of Chemicals (REACH) 2006 (1907/2006/EC)
- ☐ A4.15: Marine and Coastal Access Act 2009
- ☐ A5.01: Climate Change and Sustainable Energy Act 2006
- ☐ A5.03: Planning and Energy Act 2008 (c.21)
- ☐ A5.04: The Energy Act 2008



Any comments will be date stamped with that date shown as “last reviewed” within the aspects overview, along with the user’s name.

8.2 Related Actions

If a user has the Actions Module active on their account, they can create and track actions, related to any Aspect on their register. To do this, click into the actions tab:

Ref	Owner	Aspect Name	Description / Influence
a1		Emmissions 1	Emissions to air Influence:

Select the “New Register Review Action” button and enter all the details of the action. Once you have done this and then clicked “Save” you can then Select Aspects from the blue bars across the page and find the aspect you wish to associate the Aspect with.

Any actions instigated within the Aspect Register will appear in the Actions Register and the source column will show that the action was created within the Aspects Register and will display the specific Aspect that the action is related to.

8.3 Aspects Overview.

This page shows all the “Aspects” from all categories, within a “league table” format, showing the highest scoring items at the top.

There is an option to view all of the details for each individual “Aspect” as well as to view any associated (linked) legislation.

9 Risk Register

The Risk Register is a multi-layered risk management tool which can be configured to record and manage multiple ‘risk’ types. This module will allow the user to link relevant legislation, assign multilevel stakeholders, create actions and attach documents.



9.1 Risk Activity Categories.

The “Risk Activity Categories” enable the user to ‘group together’ activities that can be defined within the “administration” area. Typically, the categories could be different areas of the organisation, different departments or processes.

To add a category, simply click the “Add” button. A user can add as many categories as needed. The categories can be deleted or edited at any time.

SIMPLIFI Modules ▾ Administration Forthcoming Calendar Legal Register Guidance Documents Action Register Aspects Register Risk Register Audit Register Management Reports

Administration Users External Users (Mailing List) Action Types Compliance Levels Departments Legislation Risk Definitions Legislation Relevance Definitions Audit Check Lists Audit Type Definitions

Risk Business Types Risk Controls Risk Probability Definitions Risk Severity Definitions Risk ControlLevel Definitions Risk Rating Definitions

Risk Activity Categories

This page allows you to define categories that will be assigned to risk activities

Activity Category		
Default Category	Edit Delete	
Warehouse	Edit Delete	
Workshop	Edit Delete	

Add

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9.2 Risk Activity Definitions

The “Risk Activity Definitions”, enable the user to describe the relevant activities which are to be assessed within each “Activity Category” and again, can be defined within the “administration” area.

To add a “Risk Activity”, click the “Add” button, choose a category under which the activity occurs from the drop – down menu, then give the “Activity” a title and description. The ‘Activities’ can be deleted or edited at any time.

Risk activity table

This page enables activities to be added to or deleted from the risk activity table

Category	Activity Title	Activity Description	Action
Warehouse	Manually unloading pallets	Unloading pallets by hand	Select ▼
Warehouse	Unloading Pallets	Unloading Pallets using forklift truck	Select ▼
Workshop	Spraying	Paint and varnish spraying	Select ▼
Workshop	Welding	Welding Activities	Select ▼

Add



9.3 Risk Control Types

The “Risk Control Types”, provide the option to determine what type of ‘controls’ are to be applied to any specific “Risk Activity”. The control types can be anything that makes sense to the user or users within an organisation but typically, “control types” could be “compliance,” “system” or “financial”. To access these options, navigate to the Administration section.

To add a “control type”, click “Risk Control Types” in the tool bar at the top of the page, then click the “Add” button, type in the “control type” and click the “save” button. The Control Types can be deleted or edited at any time.

Control Type		
Compliance	Edit Delete	
Engineering	Edit Delete	
Financial	Edit Delete	
Systems	Edit Delete	

Add

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9.4 Risk Business Types.

This area allows the user to define their business ‘type’ – e.g. Automotive, Oil & Gas. Manufacturing, IT etc.

The Business types can be deleted or edited at any time.

9.5 Risk Controls

This page allows the user to add relevant controls within each ‘control type’ and ‘business type’. Once added, these controls will appear in the drop-down menu which the user can then select to apply the controls to the individual risk activities.

To add controls, click “Risk Controls” in the tool bar at the top, then click the “add” button. Select the Control Type and the Business Type from the drop-down menus and give the control a name and description. Then click save.

The Controls can be deleted or edited at any time.



Risk control table

This page enables risk controls to be added to or deleted from the risk control table.

Control Type	Business Type	Name	Description	Action
Compliance	Manufacturing	Access	Restrict pedestrian access	Select
System	Oil and Gas	PPE	Appropriate PPE to be worn	Select
System	Manufacturing	Rules	Enforce existing rules	Select
System	Nuclear	Scaffolding	Securing procedures	Select
Compliance	Manufacturing	Signs	Renew worn out signs	Select

Add

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9.6 Risk Probability Definitions

This area allows the user to set the descriptions and parameters for identifying the probability of individual risks. Once configured, these 'risk probability levels' will appear in the relevant drop-down menu which the user can select to determine the 'probability level' of each risk.

Risk probability guidance table

This page enables guidance to be added to or deleted from the risk probability guidance table.

Category	Probability	Description	Action	Action
REMOTE	1	DO NOT EXPECT TO HAPPEN (1 IN 10000 CHANCE)	Select	
OCCASIONAL	2	MAY OCCUR OCCASIONALLY (1 IN 1000 CHANCE)	Select	
POSSIBLE	3	WILL PROBABLY OCCUR (1 IN 100 CHANCE)	Select	
CERTAIN	4	HIGHLY LIKELY TO OCCUR (1 IN 10 CHANCE)	Select	

Add

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To add a 'Probability Definition', click "Probability Definitions" in the tool bar at the top of the page, then click the "add" button. Type in a 'category', allocate a number in the range, Type in a description, then click "Save".

The probability definitions can be deleted or edited at any time.

9.7 Risk Severity Definitions

This area allows the user to set the descriptions and parameters for identifying the severity of individual risks. Once configured, these 'risk severity levels' will appear in the relevant drop-down menu, which the user can then select, to determine the severity level of each risk.

Risk severity guidance table

This page enables guidance to be added to or deleted from the risk severity guidance table.

Category	Description	Action
Catastrophic	Fatality/Multiple Fatalities/Permanent disabilities/Long term Environmental Impacts	Select
Major	Fatality/Serious disabilities/Long term Environmental Impacts	Select
Serious	Hospital Admission >= 3 day absence	Select
Minor	Incident requiring medical treatment < 3 day absence	Select

Add

Any queries please contact us at support1@simplifi-solutions.co.uk



To add severity definitions, click “Risk Severity Definitions” in the tool bar at the top of the page, then click the “add” button. Select a ‘category’ and type in a description, then click “Save”.

The severity definitions can be deleted or edited at any time.

9.8 Risk Control Level Definitions

This page allows the user to set the descriptions and parameters for scoring any controls, which have been applied to individual risks. Once configured, these control levels will appear in the relevant drop-down menu which the user can then select to determine the score of each control, applied.

Risk control level guidance table

This page enables guidance to be added to or deleted from the risk control level guidance table

Control Level	Guidance	Action
6 Exemplar (95 - 100%)	Meets and Exceeds compliance requirements	Select...
5 Good Standard (85 - 95%)	Generally exceeds compliance requirements	Select...
4 Adequate (80 - 85%)	Arrangements meet compliance requirements	Select...
3 Below Standard (60 - 80%)	Fundamental requirements met but some specific procedural weaknesses identified	Select...
2 Significantly Below Standard (40 - 60%)	Procedures or practice flawed such that one or more important is missed or not delivered	Select...
1 Unacceptable (0 - 40%)	Seriously deficient arrangements or failed application	Select...

Add

Any queries please contact us at support@simplifi.co.uk

To edit a ‘Control Level’, click “Risk Control Level Definitions” in the tool bar at the top of the page, then click the “Edit” option within the drop-down menu in the righthand column.

9.9 Risk Rating Definitions

This area allows the user to determine the rating for the overall “Risk Rating” after all the other parameters, including, ‘Probability’, ‘Severity’, and ‘Control levels’ have been considered.

Risk Rating table

This page enables the risk rating ranges to be defined or edited

Rating Name	MinimumScore	MaximumScore	Colour	Action
Low	0	35	Green	Select...
Medium	40	65	Orange	Select...
Medium to High	60	75	Blue	Select...
High	80	100	Red	Select...

Add

Any queries please contact us at support@simplifi.co.uk

9.10 Building a Risk Register

Once the variables and parameters have been configured as (described above), the register can be built. To build your Risk Register, navigate to the Risk Register module and click “Add New Register” and give the register a name.

Now you can add your ‘categories’ (these can be different locations, areas or processes). Once you have added your categories you can begin adding specific risks.

Start by clicking the “Add New Risk” button.



This will bring you to a data entry page where you can record: a reference number, a description and select which activity the risk belongs to, (clicking on the “Risk Activity” drop – down will show all of the activities that have been entered previously).

Any affected items or people can be recorded in the box provided and the owner selected from the drop-down menu.

If you wish to plan the next Risk assessment date, this can be done by clicking into the calendar.



Risk Register Entry Details - this page displays the current selected risk details which can be edited.

Reference

Description

Activity

Affected Items or People

Owner

Date Identified

4/4/19

Next Assessment Date (dd/mm/yyyy)

Save

Cancel

Assess


Once the “Save” button has been clicked, you will have a choice of returning to the register where you will see your risk details without any assessment scoring, or for improved workflow, move straight into the “Risk assessment”.



9.11 Risk Assessment

After the “Assess Risk” button has been clicked, the risk assessment data page will appear. Here you will see all of the parameters, previously configured, along with helpful reminders of your descriptions for Risk Probability, Risk Severity, and Control Levels, available in the related drop-down menus.

Load a module using the menu bar above.

 Risk Assessment - enables the risk assessment parameter values to be selected and the risk rating to be calculated.

Risk Controls:

Select...
Add Delete

To add a control select it from the drop down list and then click the 'Add' button.
To remove a control select the name in the list box below and then click the 'Delete' button.

Risk Probability:

Select...

Risk Severity:

Select...

Control Level:

Select...

Risk Rating:

Calculate Risk

Date Assessed:

04/04/2019

Notes:

[Help](#)

Probability Category	Probability Description	Probability Value
REMOTE	DO NOT EXPECT TO HAPPEN (1 IN 10000 CHANCE)	1
OCCASIONAL	MAY OCCUR OCCASIONALLY (1 IN 1000 CHANCE)	2
POSSIBLE	WILL PROBABLY OCCUR (1 IN 100 CHANCE)	3
CERTAIN	HIGHLY LIKELY TO OCCUR (1 IN 10 CHANCE)	4

[Help](#)

[Help](#)

Please note: On the first assessment, no controls can be applied, However, this option will be available on all subsequent assessments. This is to allow an organisation to show pre and post mitigated risk and to demonstrate the improvement of scores once the ‘relevant controls’ have been added.

Select the correct options for ‘Probability’, ‘Severity’ and, control level from the relevant dropdown, then click the “Calculate Risk” button. The risk rating will automatically be calculated and displayed.

The next box allows the user to capture any opportunities associated with this risk.

Any notes can be recorded and the “Risk Assessor” selected from the drop – down menu.

Once saved, the risk will be added to the homepage of the ‘Risk Register’ showing the Risk status and the date the ‘Risk’ was last assessed.

Your Registers: ABC Risk Register Add New Register Close Register

Category: All Use paging

Ref	Activity	Risk Description	Affected Items or People	Owner Name	Date Identified	Rating	Last Rating Date	Rated By	Next Rating Date	Action
F13	Unloading Pallets	Remove broken pallets	Warehouse staff, stock and plant	Taylor Wayne	11-3-19	High	11-3-19	Taylor Wayne	11-3-19	Select...
P	Manually unloading pallets	remove pallets	Warehouse staff, stock & plant	Taylor Wayne	2-11-18	Medium	2-11-18	Taylor Wayne	2-11-18	Select...
n34	Manually unloading pallets	Remove broken pallets	Warehouse staff, plant and stock	Taylor Wayne	23-10-18	High	23-10-18	Taylor Wayne	23-10-18	Select...
n12	Manually unloading pallets	Remove Pallets from warehouse	Warehouse staff, stock and plant	Taylor Wayne	9-10-18	High	9-10-18	Taylor Wayne	9-10-18	Select...



In the right-hand column, there is an “Action” column. The drop-down menu in this column will provide a number of interactive options for each risk.

Assess Risk:

This will open up the Risk Assessment page to allow further risk assessments.

View assessment History:

This will allow the user to view all previous assessments of that particular risk.

Related Comments:

Allows any notes and comments to be recorded.

Risk Stakeholders:

Provides an option for stakeholders to be assigned to individual risks.

Related Legislation: To associate relevant legislation with a risk, in the Aspects Register view, navigate to the drop-down menu in the “Action” column and select “Related Legislation”

From here, you can select the relevant Legal Register and search for the required legislation item by entering the title or key words or phrases.

Once found, the item can be selected and saved.

Related Documents:

Allows documents which have been uploaded to the “Documents” module to be attached to the risk.

Related Actions:

Navigates to the “Actions” module to allow the user to create an action associated with that particular risk, as seen in the “Actions” module previously.

Edit Risk Details:

Allows the details of that risk to be edited.

Delete Risk:

Deletes that risk from the Risk Register.

Once the Risk register is up to date, there are a number of reporting options available, including: an ‘overview report’, a ‘detailed report’ and a ‘spreadsheet’ report.



9.12 Related Actions

If a user has the Actions Module active on their account, they can create and track actions, related to any Risk on their register. To do this, click into the actions tab:

Your Registers : ABC Risk Register Add New Register Close R

Category: All ☒ Use paging

Risks Actions

View In Action Register New Register Review Action

Add New Risk Overview Report Detail Report Spreadsheet Report

Select the “New Register Review Action” button and enter all the details of the action. Once you have done this and then clicked “Save” you can then Select Risks from the blue bars across the page and find the risk you wish to associate the Aspect with.

Any actions instigated within the Risk Register will appear in the Actions Register and the source column will show that the action was created within the Risk Register and will display the specific Risk that the action is related to.

10 Audit Register

This Module allows you to create different ‘audit’ types and ‘checklists’. The ‘checklists’ can be assigned to a relevant ‘audit type’. An audit can then be created and the assigned ‘checklist(s)’ will appear. The questions on the ‘checklist’ can be answered and any evidence attached. The audit results are captured and stored within the “Audit Register”.

Audit Register Audit Details

To view or record the audit results please select Details from the action drop down list

Show events that were created in the following time period: All and with a status of: All

Description	Audit Type	Auditor	Start Date	Result	Status	Action
March Audit	14001	Wayne Taylor	23 Oct 2016		In Progress	Select
GST	14001	Wayne Taylor	04 Oct 2016	Passed	Complete	Select
Wiser	14001	Wayne Taylor	26 Jun 2016	Passed	Complete	Select
Richard's Audit	14001	Wayne Taylor	30 Apr 2016		Open	Select
Maggie Man	14001	Wayne Taylor	26 Sep 2017	Passed	Complete	Select
Dave's audit	Fire safety	Wayne Taylor	15 May 2017	Passed	Complete	Select
Crown Flooring	14001	Wayne Taylor	31 Feb 2017	Failed	Complete	Select
BRD Audit	14001	Wayne Taylor	24 May 2016	Passed	Complete	Select
REFID	14001	Wayne Taylor	26 Apr 2016	Passed	Complete	Select
Autoneum	14001	Wayne Taylor	21 Apr 2016	Passed	Complete	Select

1 2 3 4

Add



10.1 Creating Checklists and Audit Types

To create a checklist, navigate to the Administration module then click on to “Audit Check Lists” and click the ‘Add’ button. You can give your checklist a name and define the purpose. This is typically, something as simple as: “Warehouse” and “audit procedures”. Once this is done, click the insert button.

You will now see an ‘Action’ column on the right of the page. Click ‘Questions’ and start adding questions to the checklist. You can add as many as you need. Once you have added your questions to your checklist, you are then ready to create ‘Audit Types’.

To define a new checklist question, click the Add button and complete all required input fields.

Check List Details

Check List Name:

Warehouse 2

Purpose:

Audit procedures

Creator:

Taylor, Wayne

Previous

Related Questions

Question	Sequence	Action
Is correct PPE being worn?	1	Select... ▼
Has spill kit training been carried out?	2	Select... ▼
Are spill kits in place?	3	Select... ▼
Are appropriate signs in place?	4	Select... ▼

Add



10.2 Creating Audit Types

Click 'Audit Type Definitions' in the Administration sub menu and click "Add". You can then give your audit type a name and purpose. Again, this could be something along the lines of: 14001 'Audit 14001 procedures'. Click "Insert". In the action column you can then assign a checklist or multiple checklists to the audit types. You can build as many checklists and audit types as you need and you can assign multiple checklists across multiple audit types. Once you have a checklist assigned to an audit type you have everything you need to implement an audit.

10.2 Implementing an Audit

To run an audit, click 'Audit Register' on the main menu and select 'Add'. Type in an 'audit description', then select 'Audit type', 'Auditor' and 'Start date' from the drop-down menus. Click 'insert'

Select details from the 'Action' column on the right, and the details of your audit will be displayed along with the related checklists and their status.

In the Action column select , 'Run' and again you will see an 'action' column where you can answer the questions in the checklist. Once each question is answered, you will have the option within the Action column to 'add evidence'. When this option is selected, the software will allow you to browse your computer to where your evidence is stored.

Audit Register - Audit Details

To view or run audit checklists please select accordingly from the check list action column.

Audit Details

Description: Audit Type: Start Date:

Auditor: Last Updated: Status:

Check List

Name	Status	Action
Commission	Not Run	Run
Warehouse	In Progress	Run

Related Documents

No existing details - filtered by Check List above

Once all your questions are answered and evidence attached you can then capture the results of your audit. Select your result from the dropdown and type in any recommendations.

Once this is saved, you will then have an opportunity to create a PDF report of your audit findings.



If any Non-Conformances are identified during the audit, the “Non-conformance” tick-box can be ticked. This will automatically create a “Non-conformance report” which can be completed as required. The form allows you to record: Areas being audited, the nature of the Non-conformance, corrective / preventative actions, “opportunities for improvement” and “Root cause analysis”.

If the user subscribes to the “Simplifi” “Actions” module, there will be an option to create an action related to the Non-conformance, which can then be tracked through to completion , as detailed within the “Actions” module.

Name	Status	Action
Construction	Not Done	Not
Warehouse	In Progress	Not

Related Documents

No existing details - filtered by Check List above

Result: Select...

☒ Non-Conformance

Part A: Specific areas to be audited

Warehouse

Part B: Non-conformance

Correct Personal Protective Equipment not being worn by all staff in the warehouse.

Part C: Corrective/preventative action(s) taken

Retraining for staff and supervisor with PPE checksheet added to new employees starter pack.

Part D: Observations/opportunities for improvement

Full review of all PPE requirements and supplier review to be undertaken

All of your audits will then be stored on the Simplifi platform for future reference.

11 Messages Module

The ‘Messaging module’ provides a link to support from us. The Simplifi team can also send you information about new legislation, guidance and policy. We can also let you know of any changes to the system.

You can request support from Simplifi, by creating a new message and sending it to the System Administrators who will respond to your query as quickly as possible.

There is also a link to the support team email at the bottom of the page within the Simplifi system.



12 Management Reports

The 'Management Reports' module allows a user to create different types of 'Reports' using data securely stored on the Simplifi system. You can combine information provided from multiple areas of the Simplifi software and can also schedule a 'Report' to be emailed to key personnel at pre-defined intervals

12.1 Creating a Report

Navigate to 'Management Reports' and click the 'Create Report' button.

Give your 'Report' a title then click "Save Title". Next, click "Add Report" this will allow a user to choose data needed to build a 'Report', for example 'New Legislation', 'Aspects', 'Outstanding Actions' etc. Once a user has selected the required data a user will be given further parameters from which to choose, once selected click 'Save'.

A user will then be given the opportunity to add further 'Report' information, following the same process as above. Once all the 'Report' information and parameters are selected click the 'Return' button. A user will then see the 'Report' in a table showing: 'Report Title', 'Created by', 'Creation date', and 'Last updated'. A user will also be able to select from the 'Action' column a drop-down menu which will give options to 'Edit' 'Delete' or 'Preview' the 'Report'.

12.2 Scheduling a Report

Once a 'Report' is created, a user can schedule that 'Report' to be sent to selected/key personnel via E-mail at a pre-defined frequency. To do this navigate to 'Reports Schedule' in the main menu and click 'Add Schedule'. Give the schedule a description and select which 'Report' you wish add to the schedule, using the drop-down menu.

Choose the required frequency from the drop-down menu, then click 'save'



Management Reports

[Report Definitions](#)[Reports Schedule](#)

Management Reporting Facilities - Report Schedule Entry Editor

Description:

Report :

Frequency :

Report generation date:

< April 2019 >						
Mon	Tue	Wed	Thu	Fri	Sat	Sun
25	26	27	28	29	30	31
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28
29	30	1	2	3	4	5

Report period start : 11/03/2019

Report period end : 11/04/2019

Save

Cancel

A user will then see the schedule in a table showing: 'Description', 'Report title', 'Next run', 'Last run', 'Frequency', 'Report period start', 'Report period end', 'Recipients' and again an 'Action' column with options in a drop down.

A user will see that the 'Recipient's' column is empty. To add a 'Recipient', choose the 'Recipients' option from the drop- down, select the 'Recipient' from the next drop down and click the "Add Recipient" button, then click 'Return to schedule' the desired 'Recipient' should now appear in the 'Recipient' column.

The scheduled report will now be sent to the chosen recipient(s) via E-mail at the frequency you have set. To stop the scheduled E-mails or change the frequency simply 'delete' or 'edit' the frequency. Note: the recipients in the drop-down menu are taken from the 'contacts' you have entered into the 'mailing list' within the 'Administration' Area.



