DESIGN - REVIEW AND PUBLISH

The following describes the functionality and features included in SQM.

Objective

The objective of this page in SQM is to review and approve the firm's draft system of quality management, whereafter the system will be published for all users to implement.

Page position

REVIEW AND PUBLISH can be found in the DESIGN module.

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SQM DESIGN OPERATE	OPERATE OVERVIEW MONITOR EVALUATE				+
Responsibilities					
Setup	Draft SoQM		Appro	ive	
	Name T	Туре 🕎	T	T	MO-RER-1.2 BrE - Firm fulfils ethical requir
Understanding	* MO-RER-1.2 BrE - Firm fulfils ethical requirements	Objective			
Objectives	* RI-146 - Inducements, including gifts	Risk			The firm and its personnel fulfil their responsibilities
	* Pol-88 - Inducements including gifts	Policy			in relation to the relevant ethical requirements to which the firm and the firm's engagements are
Risks	* Proc-190 - Inducements in firm register	Procedure			subject.
	LTask-2 - Gifts or other inducements	Task			
Policy responses	RI-28 - Staff non-compliance with ethical requirements	Risk	\Diamond		
Procedure responses	* MPol-5 - Annual declarations	Policy	\otimes		
Tasks	MProc-10 - Annual declaration	Procedure		▲	
	MPoI-68 - External parties	Policy	\Diamond	A	
Review & Publish	MPol-71 - New information to decline	Policy	\otimes	▲	
Monitor Reports	NWR 1 - Network risk	Task	\Diamond		

Page content

1. Review the draft SoQM

The firm reviews the draft system of quality management to ensure that all

- Objectives are identified and recorded;
- Risks are identified and appropriately assessed;
- Responses, as designed, are sufficient to reduce the impact of quality risks; and
- Links between the objectives, risks, policy and procedure responses, tasks and monitoring activities are appropriate.

Note that only signed off items are reflected in the draft system of quality management and only these signed off items will be published to the firm's system of quality management.

The system will reflect each signed off objective, risk, policy and procedure response and task with their linked items.

Recor	ded, assessed and desig	ned in 'D	esign' module
	Objective		
	Quality risk		
	Policy res	ponse	
	Pro	cedure r	esponse
		Task	
Desig	ned in 'Monitor' module		
			Monitoring activities

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SQM DESIGN OPERATI	E OPERATE OVERVIEW MONITOR EVALUATE				+
Responsibilities					
Setup	Draft SoQM			Approve	
	Name	Туре	Errors 🝸	Warnings 🝸	MO-RER-1.2 BrE - Firm fulfils ethical requir
Understanding	* MO-RER-1.2 BrE - Firm fulfils ethical requirements	Objective			
Objectives	* RI-146 - Inducements, including gifts	Risk			The firm and its personnel fulfil their responsibilities
ogeores	✓ Pol-88 - Inducements including gifts	Policy			in relation to the relevant ethical requirements to which the firm and the firm's engagements are
Risks	* Proc-190 - Inducements in firm register	Procedure			subject.
	LTask-2 - Gifts or other inducements	Task			
Policy responses	RI-28 - Staff non-compliance with ethical requirements	Risk	\otimes		
Procedure responses	* MPoI-5 - Annual declarations	Policy	\otimes		
Tasks	MProc-10 - Annual declaration	Procedure		A	
	MPol-68 - External parties	Policy	\otimes	A	
Review & Publish	MPol-71 - New information to decline	Policy	\otimes	A	
Monitor Reports	NWR 1 - Network risk	Task	\otimes		

ERRORS

Errors are those items where

- Objectives do not have risks linked to them (or the linked risks are not signed off as 'prepared');
- Risks do not have objectives linked to them (or the objectives are not signed off as 'prepared');
- Risks do not at least have either a policy or a procedure response linked to them (or the linked policy or procedure response is not signed off as 'prepared');
- Policy responses do not have risks linked to them (or the linked risks are not signed off as 'prepared');
- Procedure responses do not have policy responses linked to them (or the linked policy responses are not signed off as 'prepared'); or
- Tasks do not have procedure responses linked to them (or the linked procedure responses are not signed off as 'prepared').

The firm cannot proceed to approve the draft system of quality management (draft SoQM) until all errors have been resolved and there are no error messages in the draft SoQM.

Errors are resolved in the individual pages, for example, in the case of an objective that does not have a risk linked to it, by either:

- navigating to 'objectives' and linking a risk to the objective; or
- navigating to 'risks' and linking the relevant risk to that objective.

WARNINGS

Note that warnings indicate potentially incomplete data and do not necessarily indicate errors in the draft SoQM.

Warnings are those items where:

- Policy responses do not have procedure responses linked to them (or the linked procedure responses are not signed off as 'prepared'); or
- Procedure responses do not have tasks linked to them (or the linked tasks are not signed off as 'prepared').

The firm must consider each warning and, if necessary, resolve the warning by either adding additional content or linking the relevant items.

No action is required if the firm has intentionally not linked the items highlighted in the warnings, for example:

- Where a firm has designed a policy response, but there is no procedure response to action that policy response, then the warning for that policy response will remain in the draft SoQM.
- Where the firm has designed a procedure response, but the action will be taken outside of SQM there won't be a task linked to the procedure response and the warning will remain in the draft SoQM.

2. Approve the SoQM

The draft SoQM is approved by clicking on APPROVE in the Review and Publish page.

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SQM DESIGN OPERATE	OPERATE OVERVIEW MONITOR EVALUATE				+
Responsibilities				_	
Setup	Draft SoQM		Appro	ive T	
Understanding	Name T	Type T	T	T	MO-AC-1.1 BrE - Acceptance and continuan
Objectives	 MO-AC-LL BE - ACCEPTANCE and CONTINUATION RE129 - ACCEPTANCE AND CONTINUED IN THE ACCEPTANCE IN THE ACCEPTANCE AND A ACCEPTANCE AND ACCEP	Risk			Judgements by the firm about whether to accept or continue a client relationship or specific
Risks	MO-RER-12 BrE - Firm fulfils ethical requirements	Objective		A	engagement are appropriate based on information obtained about the nature and circumstances of the engagement that is sufficient to support such judgements.
Policy responses		Risk Policy			
Procedure responses	MProc-10 - Annual declaration Task-5 - Annual ethics declaration by personnel	Procedure			
Tasks	NRT 1 - Network required task	Task			
Review & Publish	RI-146 - Inducements, including gifts PoI-88 - Inducements including gifts	Risk Policy			
Monitor Reports	* Proc-190 - Inducements in firm register LTask-2 - Gifts or other inducements	Procedure Task			
Monitoring activities					
	Export Publish Last Published by: Christians Steyn Last Published at: 11/18/2022				

When the draft SoQM is approved, the status reflects the approval by indicating:

- the date of approval and
- the name of the person that approved the system.
- A toast is also reflected at the bottom right corner.

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SQM DESIGN OPERATE	OPERATE OVERVIEW MONITOR EVALUATE	+
Responsibilities		
Setup	Draft SoQM	Approved by: Juane Schreuder Approved at: 02/12/2023
Understanding	Name	Type Type T Type MO-AC-1.1 BrE - Acceptance and continuan
	* MO-AC-1.1 BrE - Acceptance and continuance information	Objective
Objectives	 RI-129 - Acceptance client ethics 	Risk Judgements by the firm about whether to accept or continue a client relationship or specific
Risks	MPol-71 - New information to decline	Policy engagement are appropriate based on information obtained about the nature and circumstances of the
	* MO-RER-1.2 BrE - Firm fulfils ethical requirements	Objective engagement that is sufficient to support such judgements.
Policy responses	RI-28 - Staff non-compliance with ethical requirements	Risk
Procedure responses	* MPoI-5 - Annual declarations	Policy
	* MPTOC-10 - Annual declaration	Tack
Tasks	NRT 1 - Network required task	Task
Review & Publish	* RI-146 - Inducements, including gifts	Risk
	* Pol-88 - Inducements including gifts	Policy
Monitor Reports	* Proc-190 - Inducements in firm register	Procedure
Monitoring activities	LTask-2 - Gifts or other inducements	Task
	Last Published by: Christians Stree	Your draft SQM has been approved, you can now publish and export.

The draft SoQM cannot be approved while there are unresolved errors.

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SQM DESIGN OPERATE	OPERATE OVERVIEW MONITOR EVALUATE				+
Responsibilities				_	
Setup	Draft SoQM	Ļ	Appro	ove	
	Name T	Туре 🛛 🝸	T	T	MProc-10 - Annual declaration
Understanding	* MO-RER-1.2 BrE - Firm fulfils ethical requirements	Objective			
Objectives		Risk			The individual assigned the ultimate responsibility
	* Pol-88 - Inducements including gifts	Policy			and accountability for the system of quality management will review the list of responses (with
Risks	* Proc-190 - Inducements in firm register	Procedure			analysis and identified items) and document the actions taken to implement safeguards.
	LTask-2 - Gifts or other inducements	Task			
Policy responses	RI-28 - Staff non-compliance with ethical requirements	Risk	\otimes		
Procedure responses	OT 1 - Obj test	Objective	\otimes		
Tasks	* MPoI-5 - Annual declarations	Policy	\otimes		
	MProc-10 - Annual declaration	Procedure			
Review & Publish	MPol-68 - External parties	Policy	\otimes	A	
Monitor Reports	MPoI-71 - New information to decline	Policy	\Diamond	▲	
Monitoring activities	Proc-100 - Intellectual resources consistent with professional standards and legal and regulatory requirements	Procedure	\Diamond	▲	
	NWR 1 - Network risk	Task	\Diamond		
	LTask-5 - Annual ethics declaration by personnel	Task	\otimes		Failed to approve your draft SQM, please ensure there are ×
	Export Published by: Christiana Steyn Last Published by: Christiana Steyn				no errors on any of the items.

3. Publish the SoQM

The firm's system of quality management can be published once the draft SoQM has been approved. To publish, click PUBLISH.

M DESIGN OPERAT	E OPERATE OVERVIEW MONITOR EVALUATE				
lesponsibilities	Draft SoQM	Approved Approved	l by: Juane Schre at: 02/12/2023	uder	
ietup	Name	Туре	T T	T	MO-AC-11 RrF - Acceptance and continuance i
Inderstanding	* MO-AC-1.1 BrE - Acceptance and continuance information	Objective			
	* RI-129 - Acceptance client ethics	Risk			Judgements by the firm about whether to accept or
Objectives	MPoI-71 - New information to decline	Policy			continue a client relationship or specific engagement are appropriate based on information obtained about the
Risks	* MO-RER-1.2 BrE - Firm fulfils ethical requirements	Objective			nature and circumstances of the engagement that is sufficient to support such judgements.
	* RI-28 - Staff non-compliance with ethical requirements	Risk			
olicy responses	* MPoI-5 - Annual declarations	Policy			
Procedure responses	* MProc-10 - Annual declaration	Procedure			
	LTask-5 - Annual ethics declaration by personnel	Task			
[asks	* RI-146 - Inducements, including aifts	Risk			
leview & Publish	* Pol-88 - Inducements including gifts	Policy			
	* Proc-190 - Inducements in firm register	Procedure			
Monitor Reports	LTask-2 - Gifts or other inducements	Task			
Monitoring activities					

A dialog will confirm that the firm's system of quality management, as approved, may be published to all users. Select YES.

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SQM DESIGN OPERAT	TE OPERATE OVERVIEW MONITOR EVALUATE			4
Responsibilities Setup	Draft SoQM	Publish your draft SQM? Are you sure you want to publish this version?	Approved by: Juane Schreude Approved at 02/11/2023	
Understanding	Name	No. Yes	туре т т	MO-AC-1.1 BrE - Acceptance and continuance in
Objectives	* MO-AC-1.1 BrE - Acceptance and continuance information * RI-129 - Acceptance client ethics		Objective Risk	Judgements by the firm about whether to accept or
Risks	MPoI-71 - New information to decline * MQ-RER-1.2 BrE - Firm fulfils ethical requirements		Policy Directive	continue a client relationship or specific engagement are appropriate based on information obtained about the nature and circumstances of the engagement that is sufficient to support such judgements.
Policy responses	* RI-28 - Staff non-compliance with ethical requirements		Risk	
Procedure responses	 [∞] MPoI-S - Annual declarations [∞] MProc-10 - Annual declaration 		Policy Procedure	
Tasks	LTask-5 - Annual ethics declaration by personnel NRT 1 - Network required task		Task Task	
Review & Publish	* RI-146 - Inducements, including gifts		Risk	
	* Pol-88 - Inducements including gifts		Policy	

When the firm's system of quality management is published, the status page reflects the

- the date of the most recent published system of quality management and
- the name of the person that published the system.

A toast is also reflected at the bottom right corner.

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SQM DESIGN OPERATI	OPERATE OVERVIEW MONITOR EVALUATE				+
Responsibilities	Draft SoQM				
Setup		Approved by: 50 Approved at: 02	2/12/202	3	
	Name	Y Type	T	T	MO-AC-1.1 BrE - Acceptance and continuance i
Understanding	* MO-AC-1.1 BrE - Acceptance and continuance information	Objective			
Ohiadiaa	* RI-129 - Acceptance client ethics	Risk			Judgements by the firm about whether to accept or continue a client relationship or specific encagement are
Objectives	MP0I-71 - New information to decline	Policy			appropriate based on information obtained about the nature and circumstances of the engagement that is
Risks	* MO-RER-1.2 BrE - Firm fulfils ethical requirements	Objective			sufficient to support such judgements.
	* RI-28 - Staff non-compliance with ethical requirements	Risk			
Policy responses	* MPoI-5 - Annual declarations	Policy			
Procedure responses	* MProc-10 - Annual declaration	Procedure			
riocedure responses	LTask-5 - Annual ethics declaration by personnel	Task			
Tasks	NRT 1 - Network required task	Task			
	* RI-146 - Inducements, including gifts	Risk			
Review & Publish	* Pol-88 - Inducements including gifts	Policy			
Monitor Reports	* Proc-190 - Inducements in firm register	Procedure			
	LTask-2 - Gifts or other inducements	Task			
Monitoring activities					
	Last Published by: Juane Schreuder				Your draft SQM has been published, you can now view the published version
	Export: Publish Last Published at: 02/12/2023				under operate.

4. Export the draft SoQM

A network firm may want to export the network-required objectives, risks, policy responses, procedure responses and tasks to be distributed to network member firms. This function can be performed in Design – Review and Publish.

To export, click EXPORT

esponsibilities	Draft SoQM	Approv	red by: Juane	Schre	euder	
etup	Name	Туре	T	T	T	MO-AC-11 R/E - Acceptance and continuance i
Inderstanding	* MO-AC-1.1 BrE - Acceptance and continuance information	Objective				mo-Ac-1.1 bit - Acceptance and continuance i
	* RI-129 - Acceptance client ethics	Risk				Judgements by the firm about whether to accept or
Objectives	MPol-71 - New information to decline	Policy			A	continue a client relationship or specific engagement are appropriate based on information obtained about the
Ricks	* MO-RER-1.2 BrE - Firm fulfils ethical requirements	Objective				nature and circumstances of the engagement that is sufficient to support such judgements.
10383	* RI-28 - Staff non-compliance with ethical requirements	Risk				
Policy responses	* MPol-5 - Annual declarations	Policy				
	* MProc-10 - Annual declaration	Procedure				
Procedure responses	LTask-5 - Annual ethics declaration by personnel	Task				
Tasks	NRT 1 - Network required task	Task				
	* RI-146 - Inducements, including gifts	Risk				
Review & Publish	* Pol-88 - Inducements including gifts	Policy				
And the Description	* Proc-190 - Inducements in firm register	Procedure				
Monitor Reports	LTask-2 - Gifts or other inducements	Task				
Monitoring activities						

A dialog will confirm that the user wants to export the firm's system of quality management. Set a name for the exported file. Select SAVE.

SQM DESIGN OPERAT	TE OPERATE OVERVIEW MONITOR EVALUATE				+
Responsibilities	Draft SoQM	Export prepared SOM?	Appr	oved by: Juane Schreuder	
Setup		Are you sure you want to export this version?	Appr	oved at: 02/12/2023	MO-AC-1.1 BrE - Acceptance and continuance in
Understanding	* MO-AC-1.1 BrE - Acceptance and continuance information * BI-129 - Acceptance client ethics	Save as filename *	tive		
Objectives	MPoI-71 - New information to decline	som-export-2023-02-12T15-28:43.157Z	0		Judgements by the firm about whether to accept or continue a client relationship or specific engagement are appropriate based on information obtained about the
Risks	* MO-RER-1.2 BrE - Firm fulfils ethical requirements * RI-28 - Staff non-compliance with ethical requirements	CANCEL	Save		sufficient to support such judgements.
Policy responses	* MPol-5 - Annual declarations		Policy		
Procedure responses	* MProc-10 - Annual declaration LTask-5 - Annual ethics declaration by personnel		Procedure Task		
Tasks	NRT 1 - Network required task * RI-146 - Inducements, including gifts		Task Risk		
Review & Publish	* Pol-88 - Inducements including gifts		Policy		
Monitor Reports	LTask-2 - Gifts or other inducements		Task		
Monitoring activities					
	Last Publish Last Published by: Juane Schreude Last Published at: 02/12/2023	,			

The exported data will be saved in the 'DOWNLOADS' folder of the user from where it can be distributed to network member firms.

QM DESIGN OPERAT	E OPERATE OVERVIEW MONITOR EVALUATE				
Responsibilities	Draft SoQM				
Setup		Approv	red by: Juane Sci red at: 02/12/20	and a state of the	
	Name	T Type	TT	T	MO-AC-1.1 BrE - Acceptance and continuance i
Understanding	* NU-AC-LI BIE - Acceptance and continuance information	Diek			
Objectives	Mol 71 - New information to decline	Policy			Judgements by the firm about whether to accept or continue a client relationship or specific engagement are
	meneral rewallormation to decline	Policy		A	appropriate based on information obtained about the nature and circumstances of the engagement that is
Risks	* MO-RER-1.2 BrE - Firm fulfils ethical requirements	Objective			sufficient to support such judgements.
	* RI-28 - Staff non-compliance with ethical requirements	Risk			
Policy responses	* MPoI-5 - Annual declarations	Policy			
Procedure responses	* MProc-10 - Annual declaration	Procedure			
	LTask-5 - Annual ethics declaration by personnel	Task			
Tasks	NRT 1 - Network required task	TASK			
Device & Dublish	* RI-146 - Inducements, including gifts	Risk			
Keview & Publish	 Poi-80 - inducements including girts Poi-800 - inducements in formation 	Policy			
Monitor Reports	- Proc-120 - Inducements in firm register	Track			
	Llase-2 - Gitts or other inducements	Tats K			
Monitoring activities					
					Your SQM has been exported, the file will
	Export Publish Last Published by: Juane Schreuder Last Published at: 02/12/2023				be downloaded shortly.

Network member firms will import this file as network mandatory items. Network imports are done in Settings.

Page Outcomes

Before continuing to operate the firm's system of quality management, the firm should have:

- Reviewed and approved the draft system of quality management.
- Published the system of quality management for all users to implement.

Features

There are no additional features on this page.