CERTS – Member Administrator User Guide

Last Updated: July 21, 2021

DM #798729v6

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1 OVERVIEW

For the Continuing Education Record Tracking System ("CERTS") the functionality and level of access a user has is defined by their role as either "Participant" (Approved Person), "Member Administrator" (Member staff delegated by the Member) or "Provider" (Non-Member CE Activity/Course Provider). This manual will cover the access and functionality available to a Member Administrator.

The Member has flexibility in the assignment of functions to Member Administrators. Please refer to the Member Guide on the MFDA website for further details on this and other aspects of administering the MFDA CE program.

2 USER LOGIN

Click on the **CE Login** link in the **Continuing Education** section of the MFDA Website. You can also go directly to https://crm.mfda.ca/. You may wish to add this link to your browser Favorites list for future use. From the Login screen, enter your assigned **Login Name** and **Password** and click on the **Login** button.

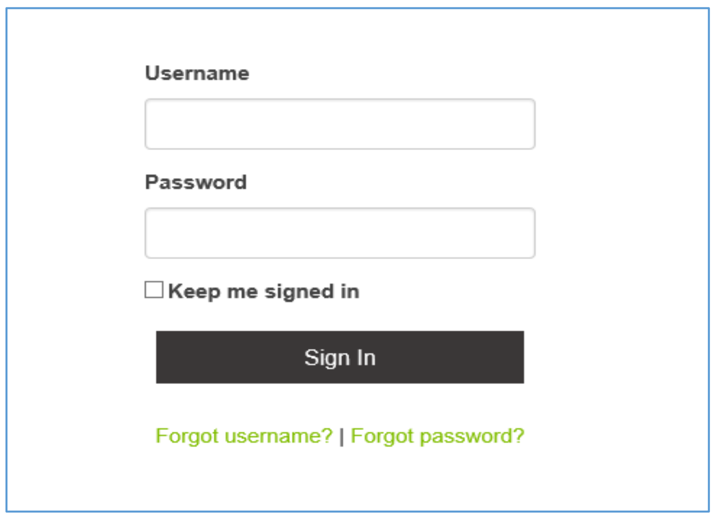


Figure 1a: CERTS – Login

Upon initial login, there will be a pop-window that appears with the Terms and Conditions for MFDA CERTS. Please review the terms and select **Save and Continue** to proceed

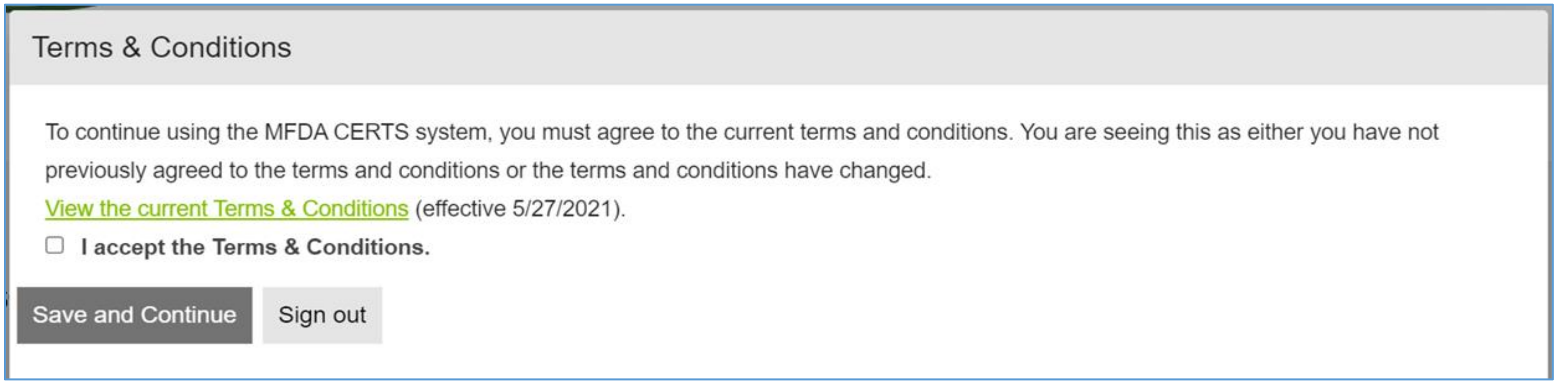


Figure 1b: CERTS – Login

3 FORGOT USERNAME/PASSWORD?

Use the **Forgot Username?** or **Forgot Password?** functions to retrieve your username or to reset your password.

To use the **Forgot Username?** function, select the link on the login screen. From the Retrieve Username Screen, enter the email address that is associated with the account (Figure 2a on next page). If the correct email address is entered, the username will be sent to associated email.

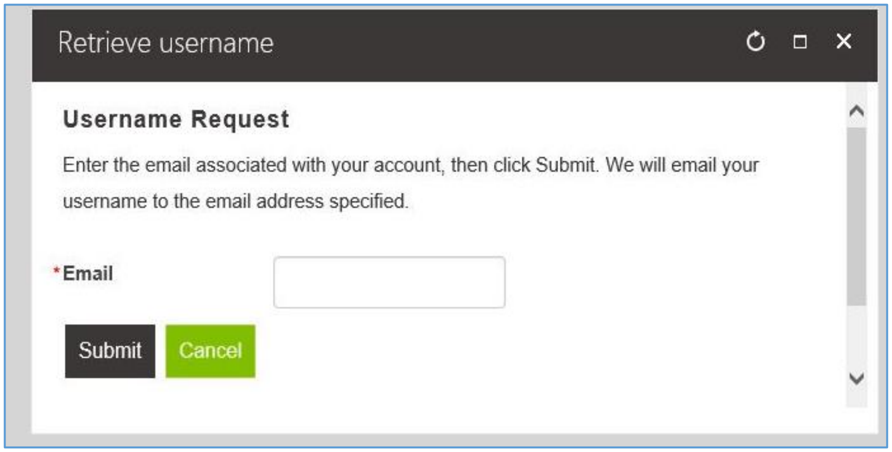


Figure 2a: Retrieve Username

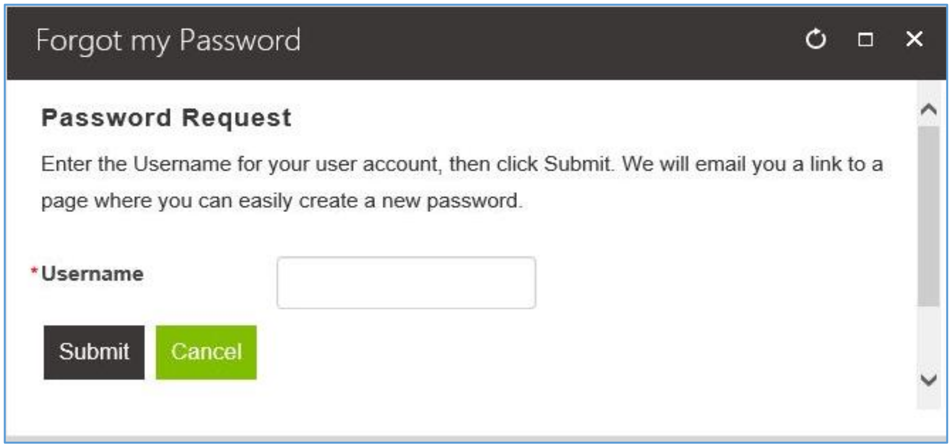


Figure 2b: Forgot my Password Feature

To use the **Forgot Password?** Function select the link on the login screen. From the Reset Password screen, enter your **Username** and click on the **Submit** button (Figure 2b). A password reset email will be sent to the email address associated with the account with a link that leads to the reset password webpage (Figure 2c on next page)

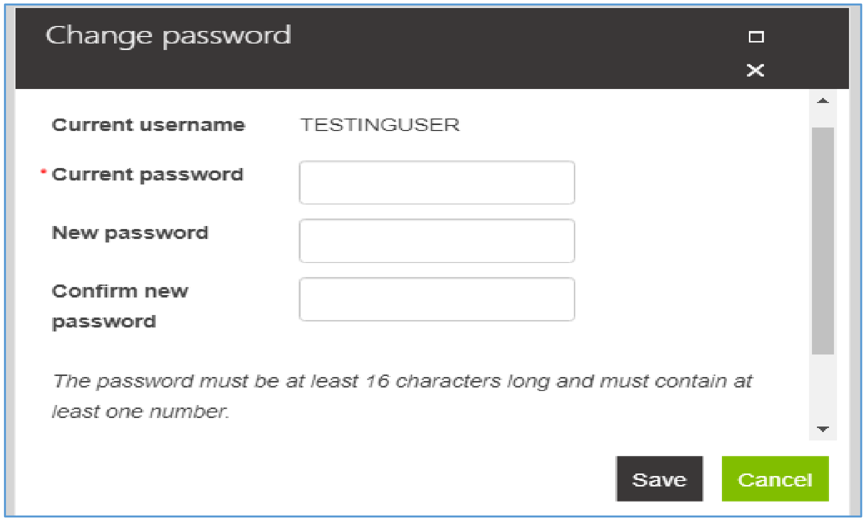


Figure 2c: Reset Password Feature

4 CERTS USER ACCOUNT TYPES AND ROLES

4.1 User Account Types

The CERTS system has 3 user account types: Participant, Member Administrator and Provider.

See the **Member Guide** on the Continuing Education page of the MFDA Website for further details on how the Participant and Member Administrator User accounts are created

4.2 User Roles

Refer to the Figure 3 on the next page for the list of main roles available to each CERTS user account types. Please note that such roles are further restricted based on the user account type. As such:

- Participants can only undertake the roles denoted in the table for themselves,
- Member Administrators can only undertake the roles denoted in the table for their own participants and CE activities,
- Providers can only undertake the roles denoted in the table for their own CE activities.

Function	CERTS User Roles		
	Participant	Member Admin	Provider
Add New CE Activities in CE Course Catalogue		●	●
Report CE Activity Attendance[1]	●	●	●
Revise and Renew CE Activities		●	●
Submit Credit Reduction Report for Leaves of Absence		●	
View Participant CE Details Summary[2]	●	●	
View CERTS Course Catalogue[3]	●	●	●
Enter/Edit Participant primary email address		●	
Enter/Edit Participant secondary email address	●		

1. Participants can only report CE Activity attendance for themselves and must provide a completion certificate with their submission. Please note that Members may restrict the ability of Participants to report their own CE Activity Attendance if the Member is undertaking such entry of all CE activity attendance behalf of the Participants.
2. Participants can only view their own CE Details Summary.
3. Providers will only be able to view and report on their own CE Activities in the CERTS Course Catalogue. Participants and Member Administrators will be able to view and report on all CE Activities in the Course Catalogue.

Figure 3 - CERTS User Roles

5 DASHBOARD

The Dashboard is the main landing page for CERTS and can be used to access all functions. There are four tabs at the top of the page representing different functions. The Participants tab is used to search for active participants. The Course Catalogue tab is used to search for courses and/or activities. The Submissions tabs is used to review previously submitted forms or to access previously saved forms that have not yet been submitted.

The menu on the right hand side gives access to all Actions within CERTS, while the menu on the left hand side is used for account management (such as changing password). The centre of the Dashboard gives a quick visual representation as to the progress of the Member's Participants in fulfilling their CE requirement.

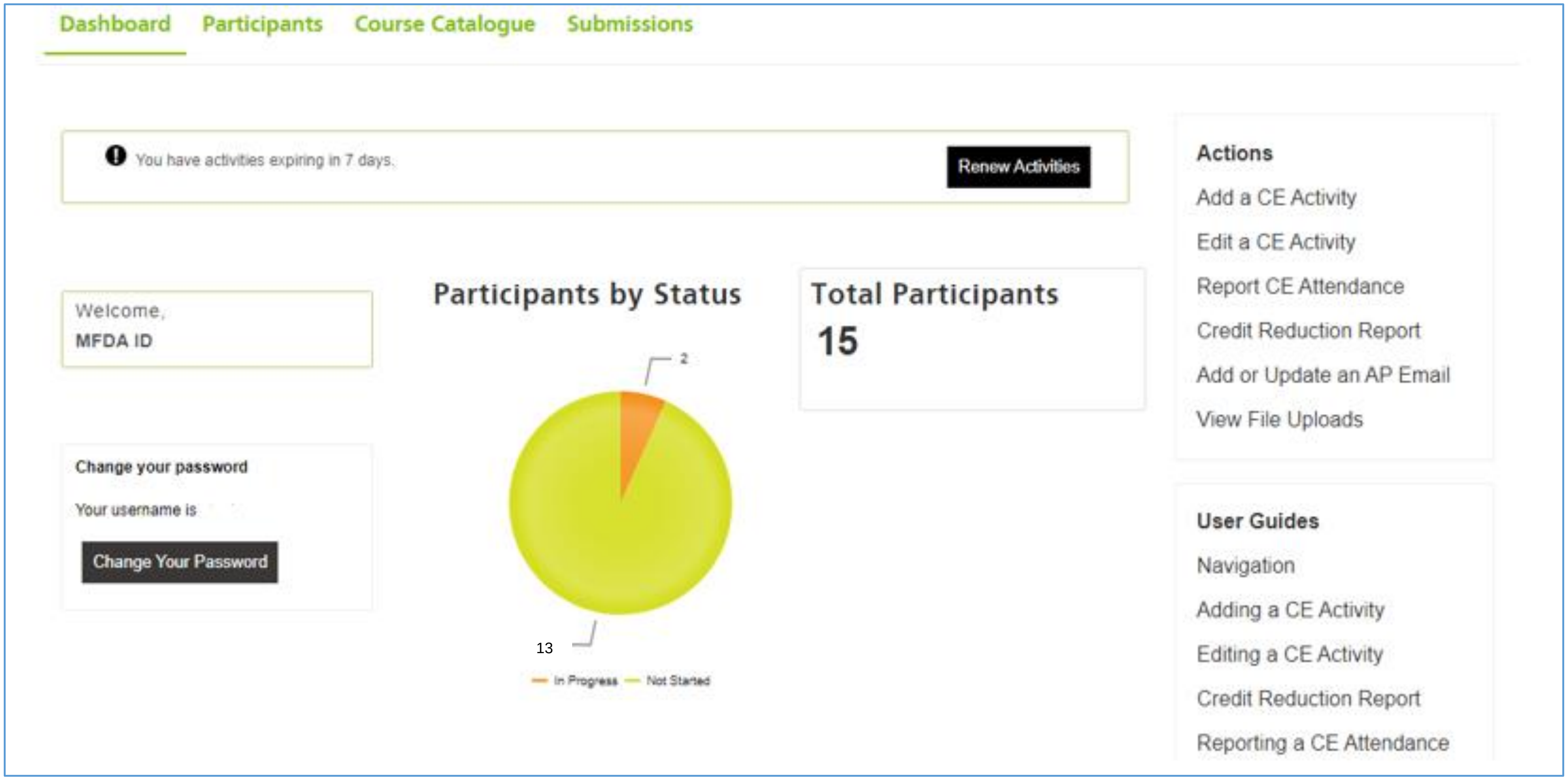


Figure 4: CERTS- Dashboard

6 MANAGING USERS

6.1 Search Participant Users

Member Administrator users have the ability to view the profile of their Participants registered with their firm. To search for a Participant, select "Participants" in the top menu bar. Enter your search criteria and select "Find". Search results will appear below based on your search criteria. Select "Click for Profile" in the row of the desired Participant (Figure 5a).

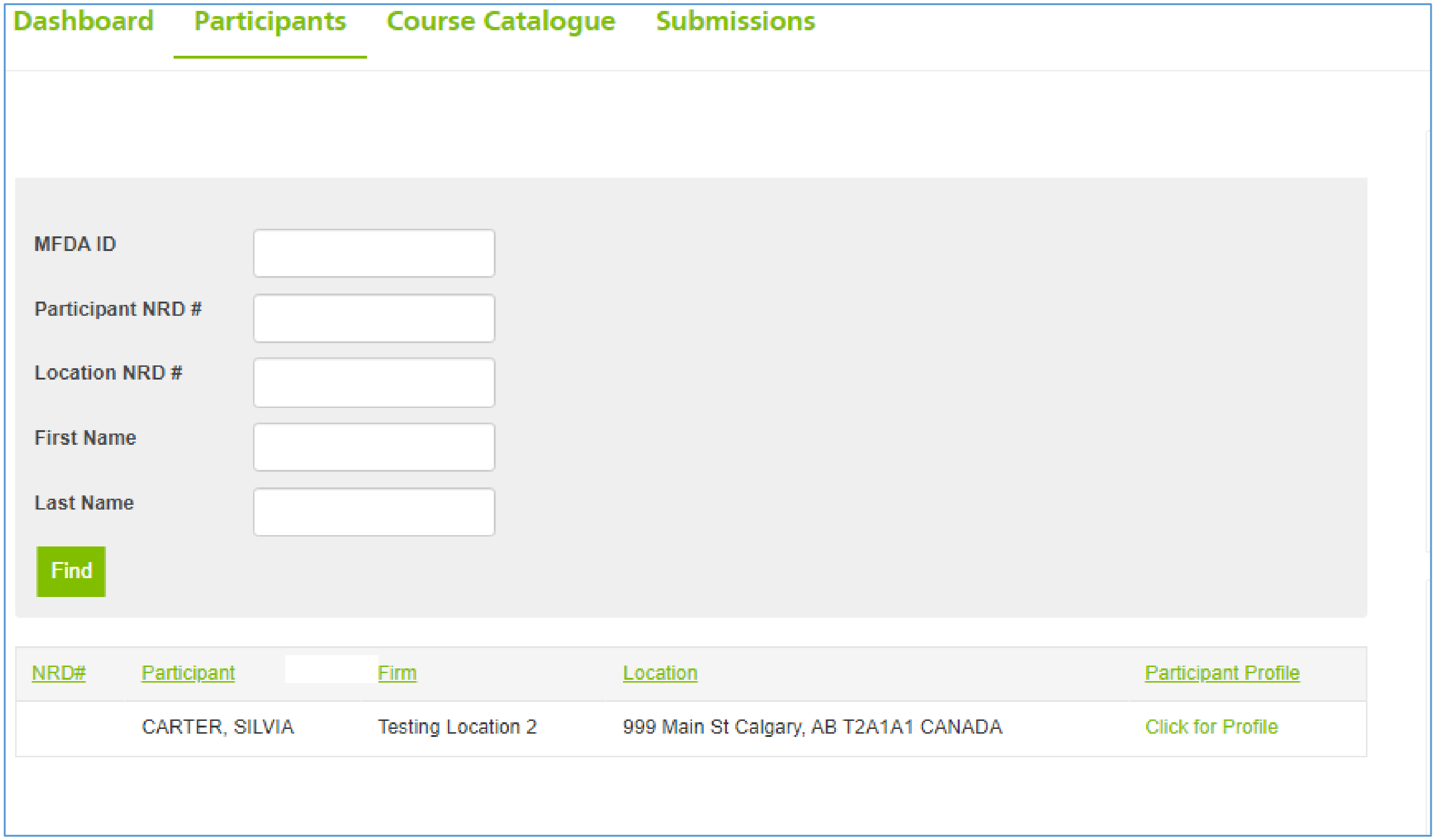


Figure 5a: CERTS- Search Participants function

A pop-up window will appear with the view of the selected Participant's profile (Figure 5b). The Member's administrator will be able to report an activity on behalf of the Participant.

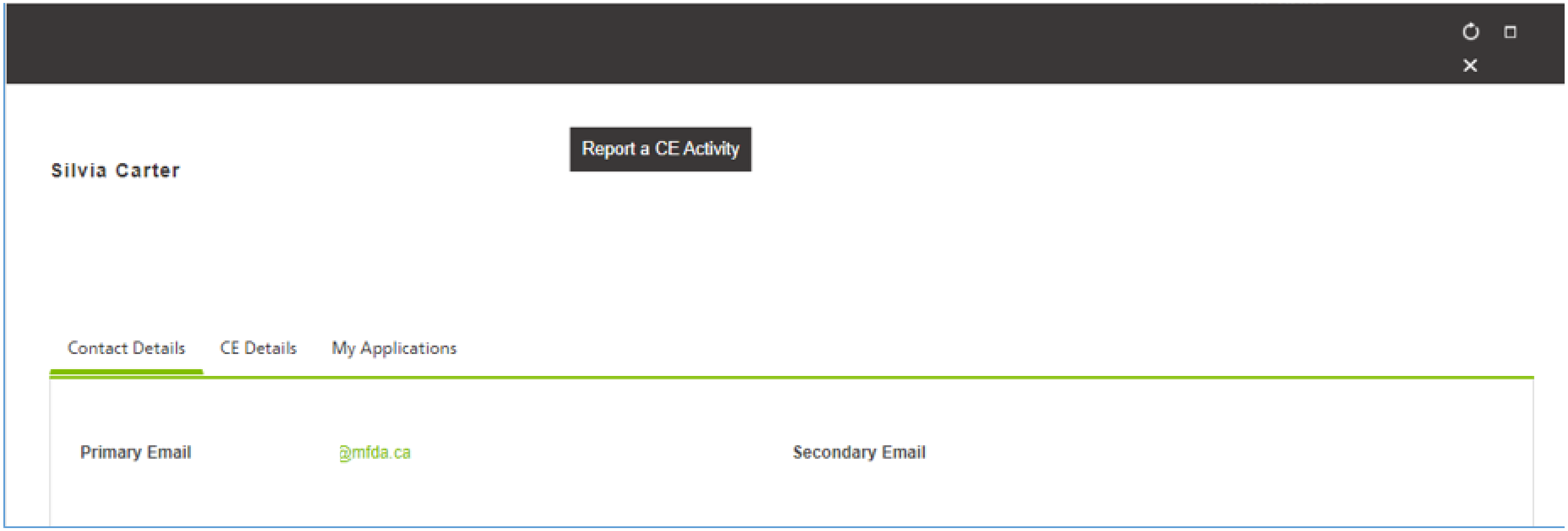


Figure 5b: CERTS- Participant pop-up window

6.2 Updating Participant Email Addresses

The Member will need to update the primary email address of each participant to ensure that an accurate email is associate with the participant's user account.

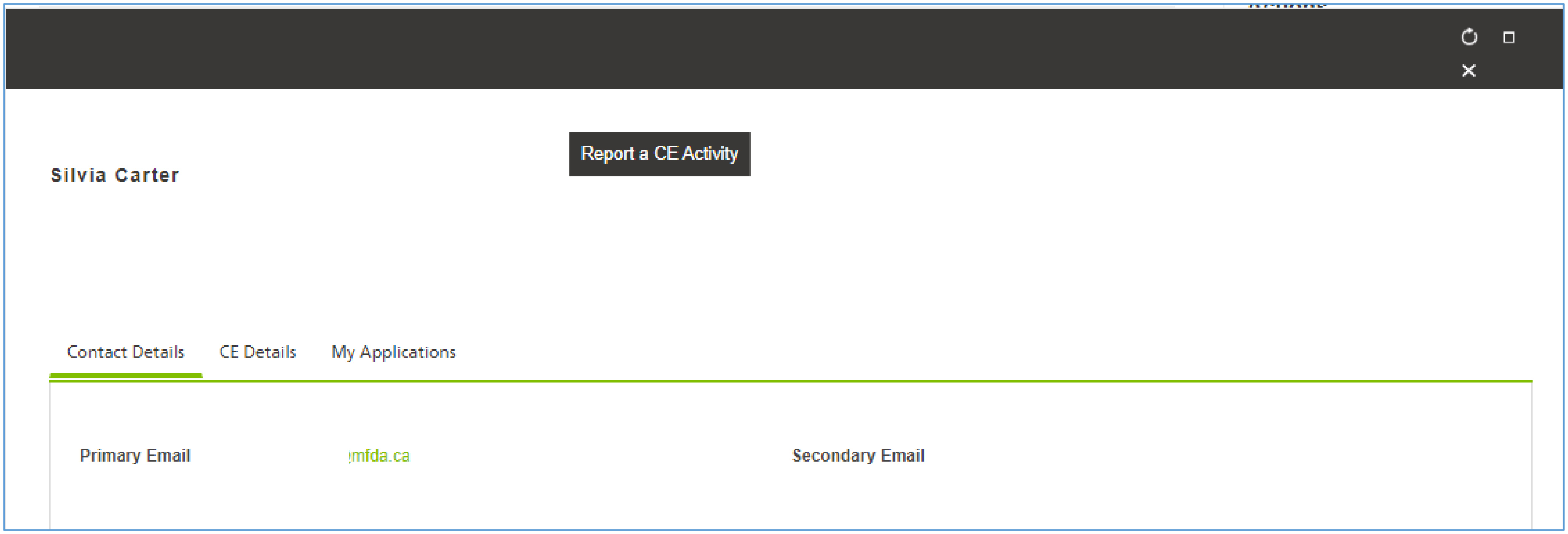


Figure 5c: CERTS- Participant Email

To add or update an email address, select “Add or Update an AP Email” option on the menu on the right-hand side of the screen (Figure 5d).

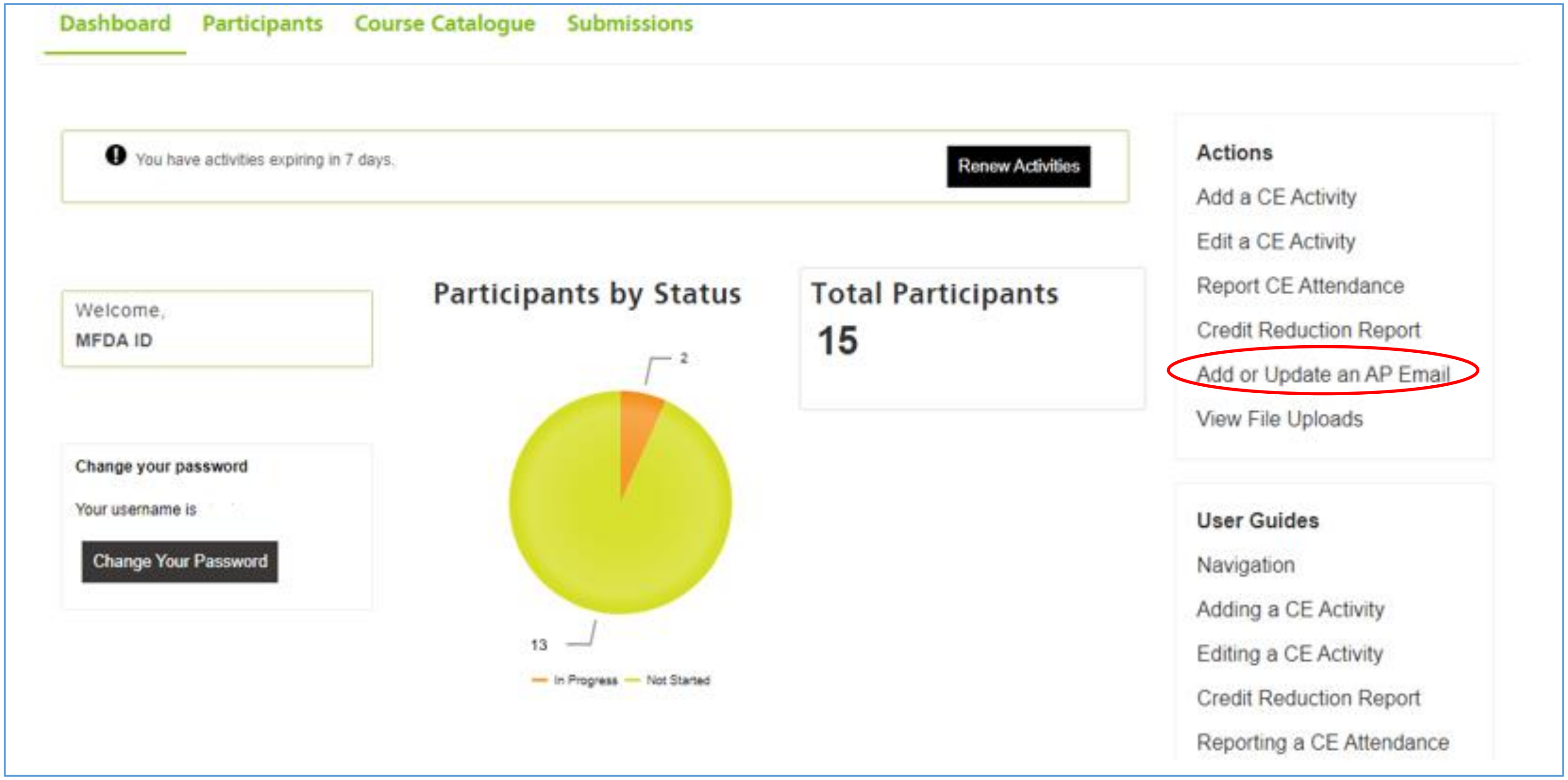


Figure 5d: CERTS- Add an AP Email

Enter the search criteria for the new Participant and select the “Add Email” link on the row of that Participant (Figure 5e). Enter the Participant’s email and select “Save”. The Participant will no longer be searchable under the Add Email list (Figure 5e).

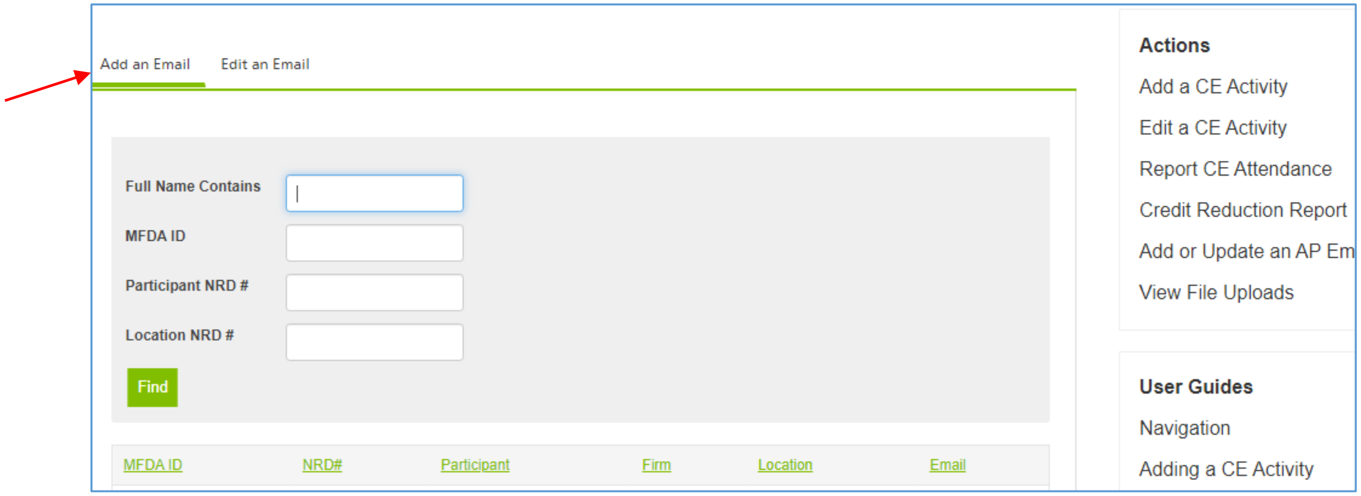


Figure 5e: CERTS - Add an Email

To edit/update a Participant's primary email, select the "Edit Email" tab (Figure 5f). Enter the search criteria for the specific Participant and select the email address on the row of that Participant. Update the Participant's email and select "Submit" (Figure 5g on the next page).

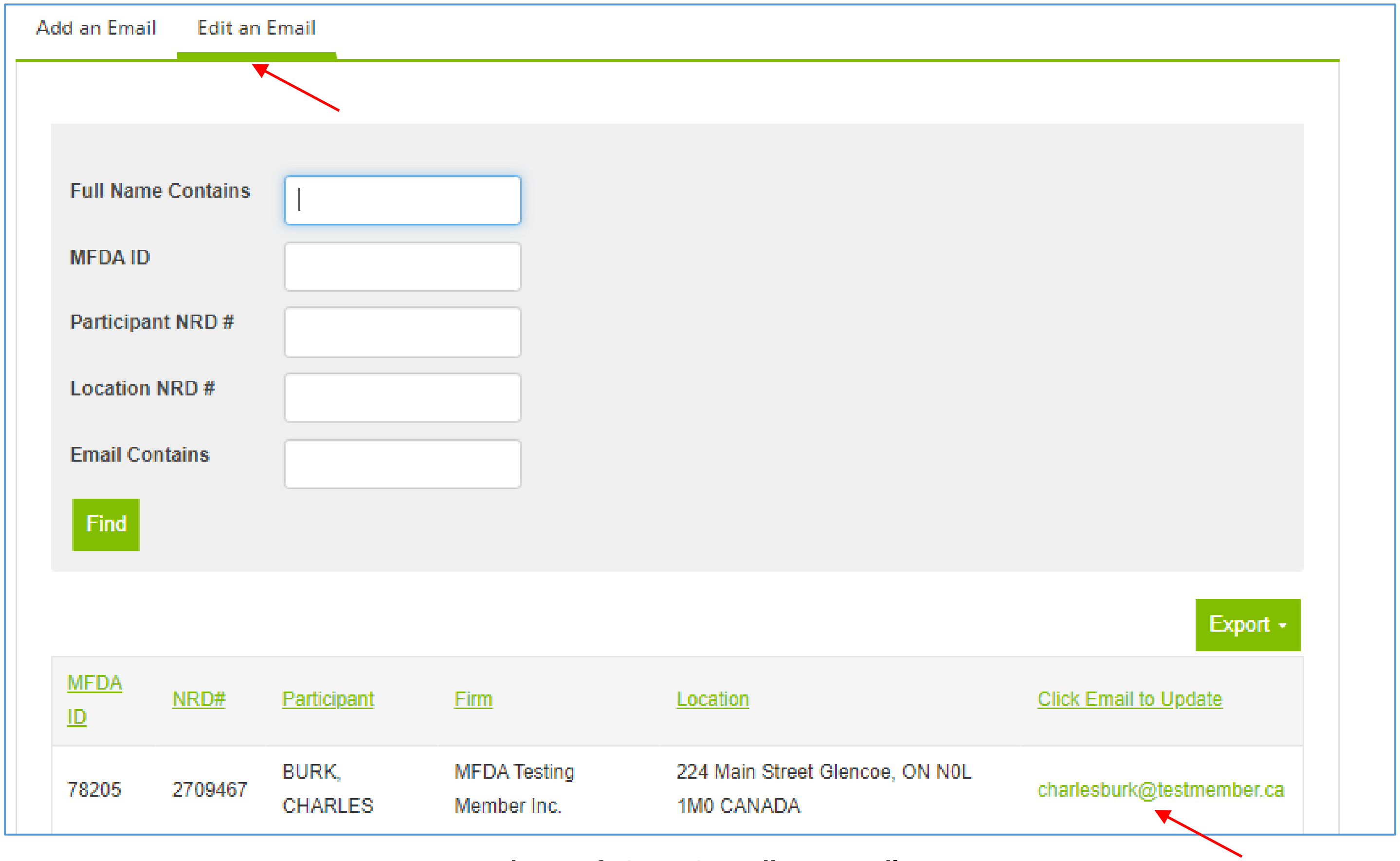


Figure 5f: CERTS – Edit an Email

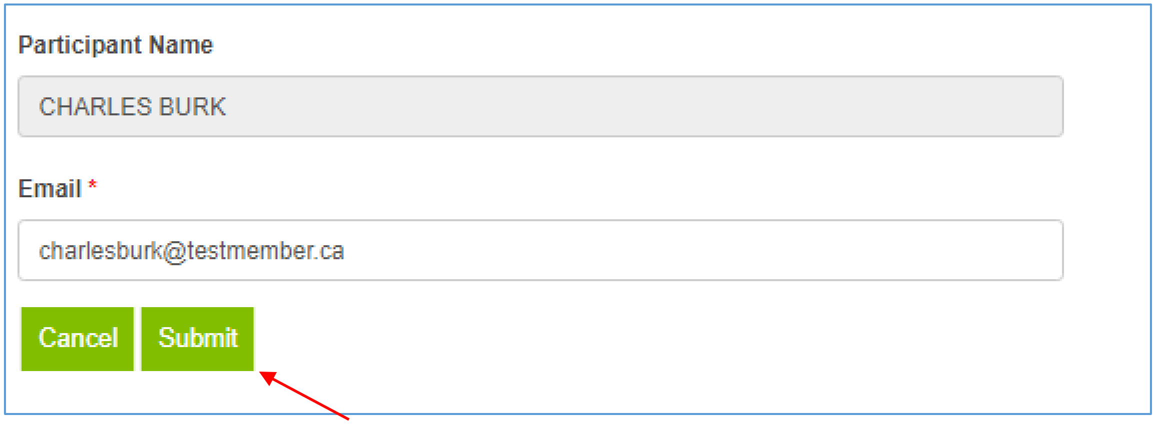


Figure 5g: CERTS – Edit an Email

6.3 Secondary Emails for Participants

To ensure that the CERTS system can continue to communicate with Participant user even when the Participant is not registered with a Member, Participant users will need to enter a secondary email to their profiles. This action can only be done by a Participant user. To add or update this secondary email, the Participant must select "Change Secondary Email" in their user account (Figure 6a on the next page).

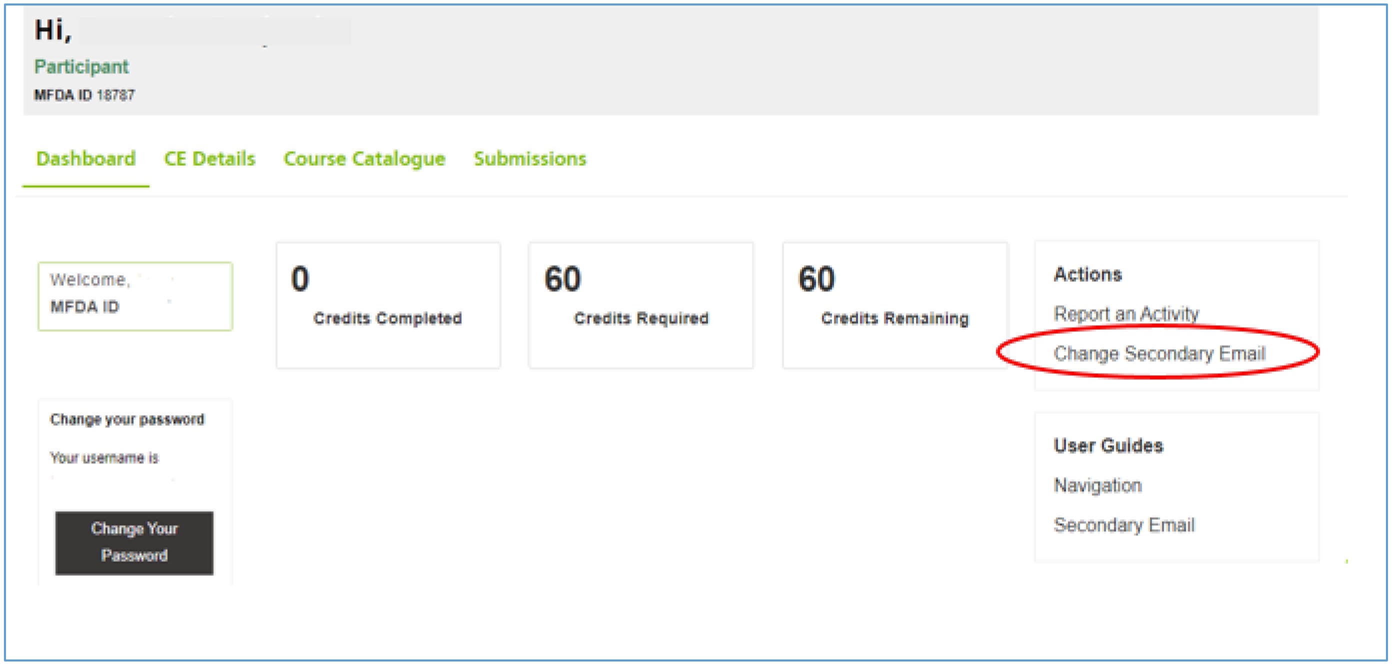


Figure 6a: CERTS- Change Secondary Email

Select the edit pencil icon on the screen and the screen and the secondary email field will become editable. Enter/Update the secondary email and click “Save” (Figure 6b)

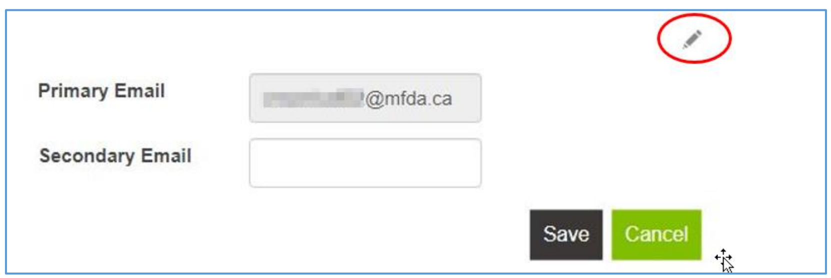


Figure 6b: CERTS- Change Secondary Email

7 CE ACTIVITY

In order to report CE Activity Attendance, the CE Activity must first be added to the CE Course Catalogue. Member Administrators and Providers can add CE Activities to the CE Course Catalogue.

7.1 Search Course Catalogue

Select the Course Catalogue tab from the Dashboard to search for any course or activity. Enter the applicable criteria in the search field and select **Find** to generate the results (Figure 7a). Select **Click for Details** to view more information about the course/activity including Activity Details, Credit Information and Accreditation Information (Figure 7b on the next page).

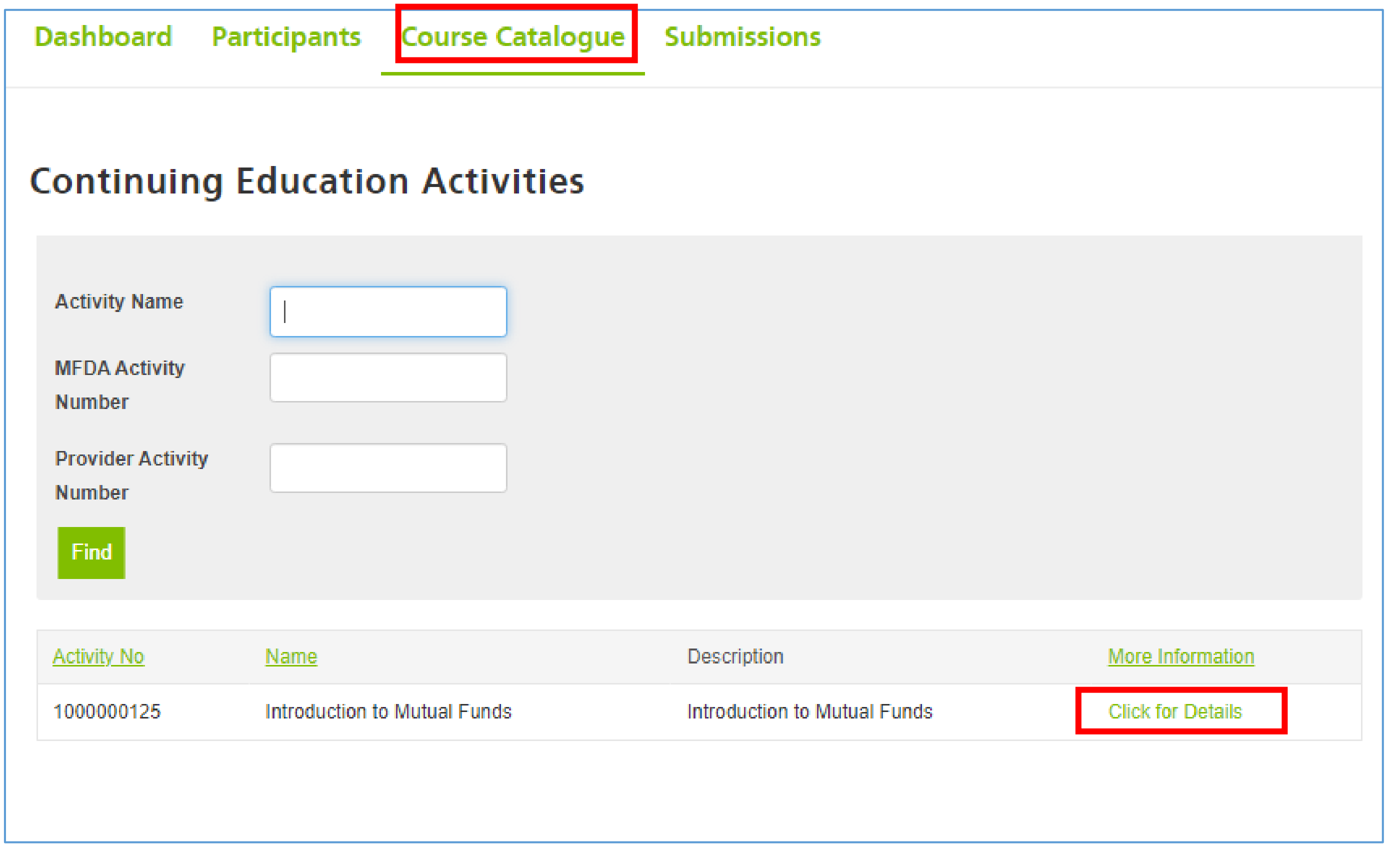


Figure 7a: CERTS- Search Course Catalogue

Continuing Education Activity

Activity Name	Description
Introduction to Mutual Funds	Introduction to Mutual Funds

Activity Information

MFDA No	Activity No	Available To	Subject
1000000125	2021	Participants registered with, or designated by, a Member	Products

Credit Details

Category	Credit Amount	Maximum Credits
Professional Development	3	0

Accreditation

Accredited By	Accreditation Number	Accredited On	Accredited Until
Testing Member Inc.	899	Jun 01, 2021	Aug 31, 2021

Figure 7b: CERTS- CE Activity Details

7.2 Add a CE Activity

The ‘Add a CE Activity’ function can be used to add CE activities to the CE catalogue. Use this form to add a description of the activity, accreditation details and credit information. Select the **Add CE Activity** option to add a new activity on the right hand menu (Figure 8a). This will open the Add CE Activity form in a separate window.

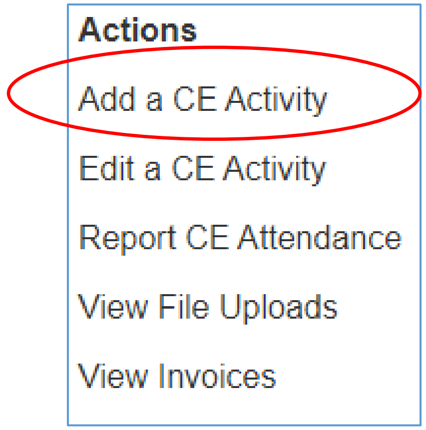


Figure 8a: CERTS- Add a CE Activity

Begin filling out the form (Figure 8b). All fields marked with red asterisks are mandatory. The Activity Number is the reference number that a Member or Provider may use internally. It is not mandatory. The CERTS system will auto-generate a Course reference number that should be noted by the Member for future reference.

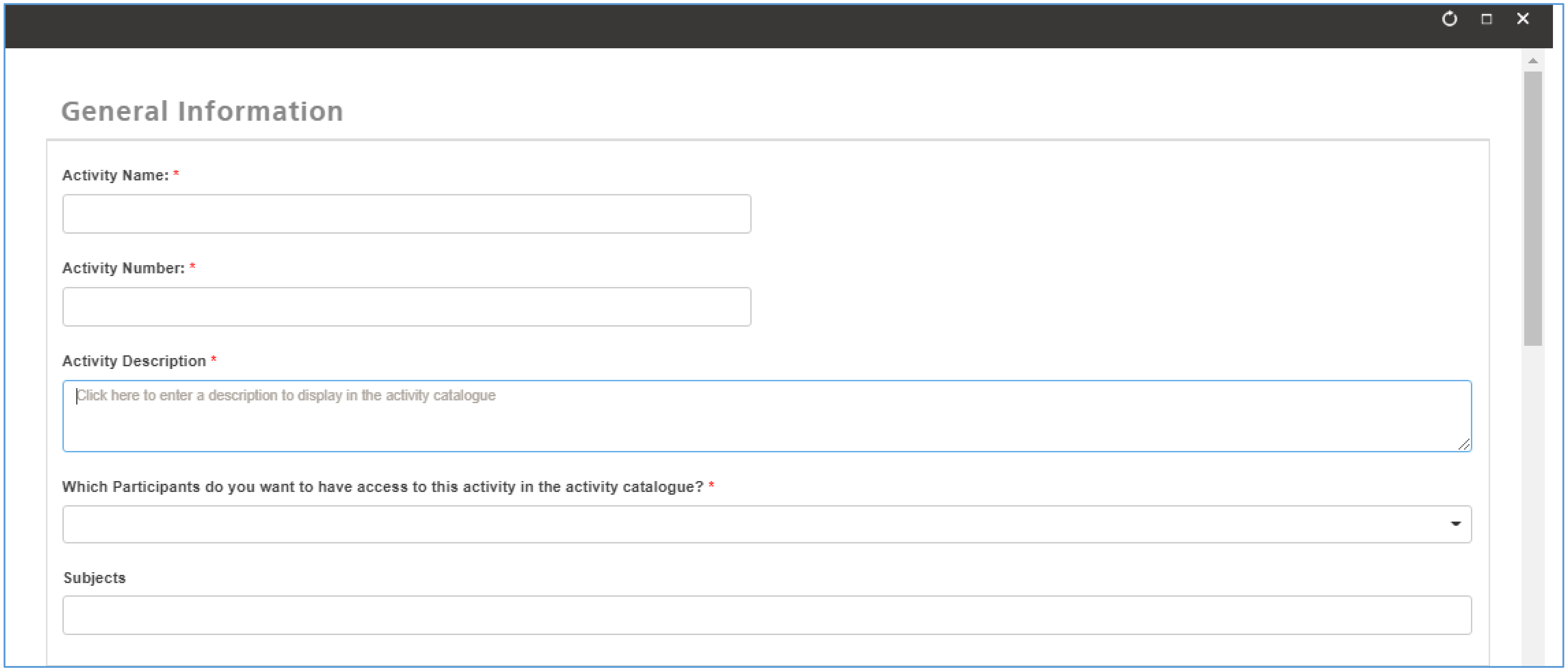


Figure 8b: CERTS- Add a CE Activity

Under the “Accreditation Information” section, Member administrators will have the option to choose to select their courses as “Self-Accreditation”, or “Accredited by another organization” (Figure 9a).

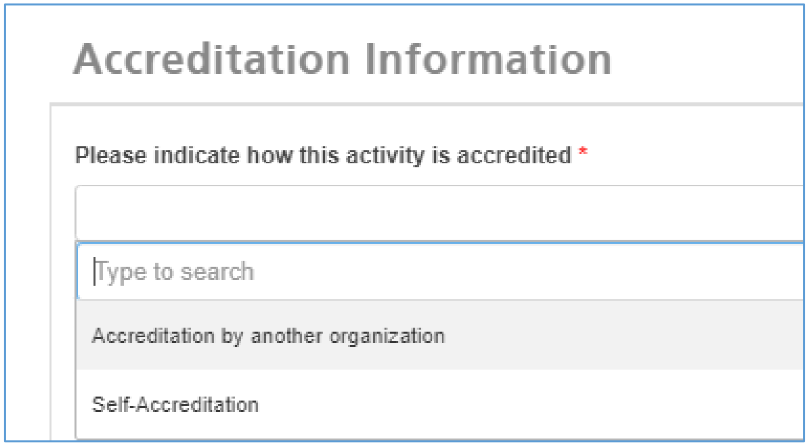


Figure 9a- CERTS – Accreditation reporting

If the Member chooses <u>Self-Accreditation</u>, they must provide the name of the person responsible for the accreditation (Figure 9b).

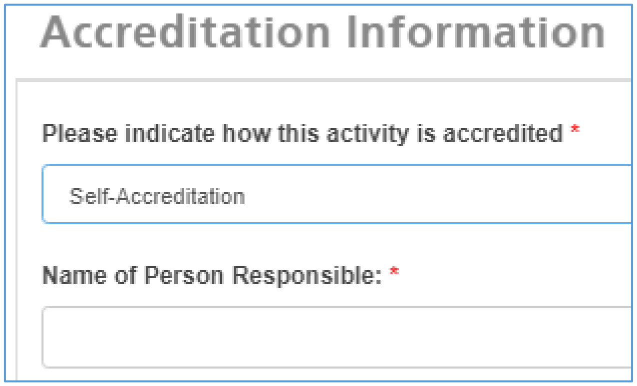


Figure 9b: CERTS – Accreditation reporting

If the Member chooses “Accredited by another organization”, the Member Administrator must select from the list of recognized accrediting organizations, provide accreditation number and upload a copy of the accreditation certificate (Figure 9c).

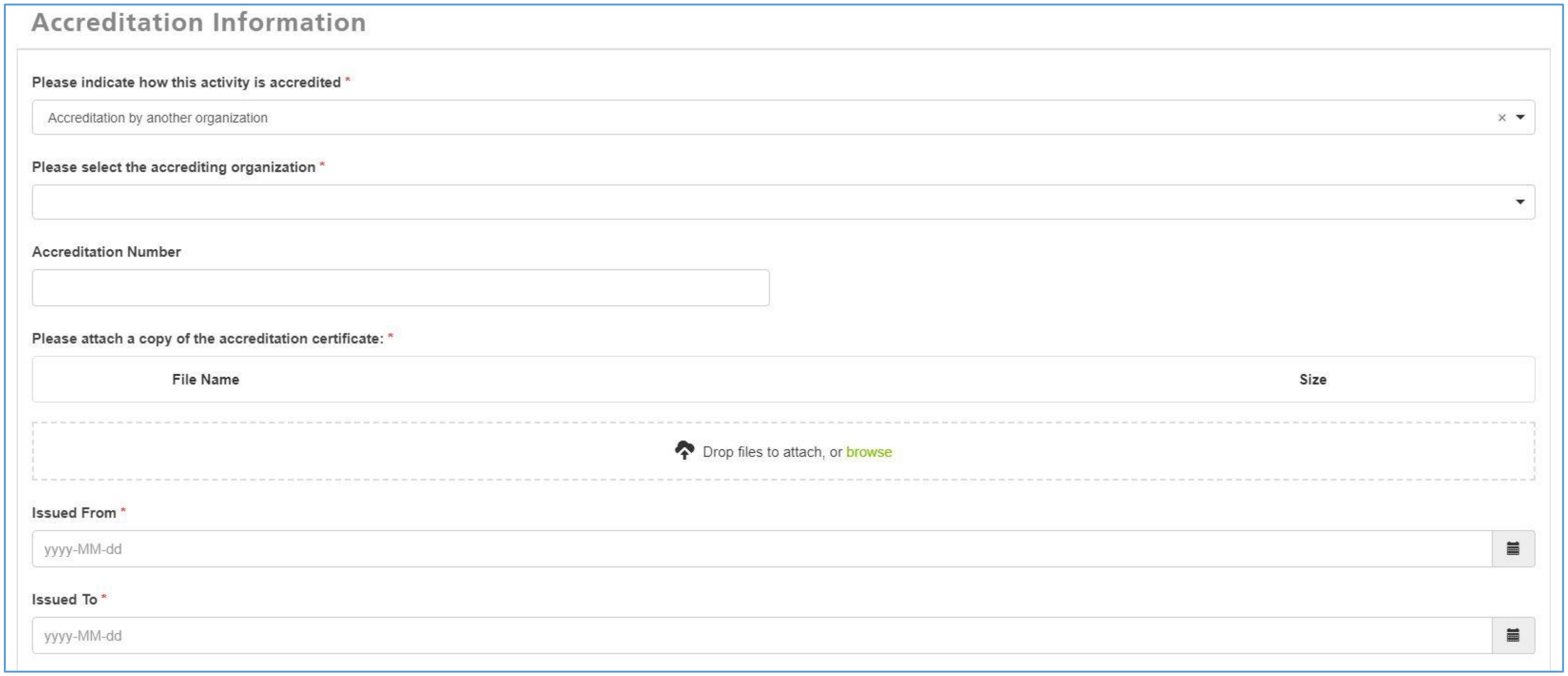


Figure 9c: CERTS – Accreditation reporting

To report on the number of credits that an activity is worth, select the **Add Credit** button and the below window will appear:

Two types of credit categories will appear in the dropdown: (1) **Business Conduc**t and, (2) **Professional Development**. If Business Conduct is selected, a new dropdown function will appear, and the user must select either "Ethics" or "Non-Ethics" (Figure 10). Enter the credit value in the "Number of Credits" field and select "Submit". The system will take you back to the main CE Activity form. To add another credit category to the same activity, select the "Add Credit" again and repeat the steps.

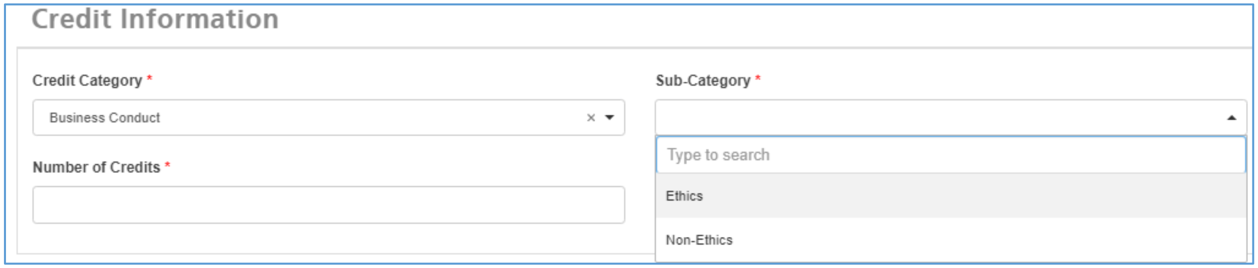


Figure 10: CERTS – Credit Information

When all of the required fields in the form are accurately completed, and the user agreement has been affirmed, the user can click the **Submit** button. The user will receive a confirmation message in the form window and the user may now exit the window (Figure 11).

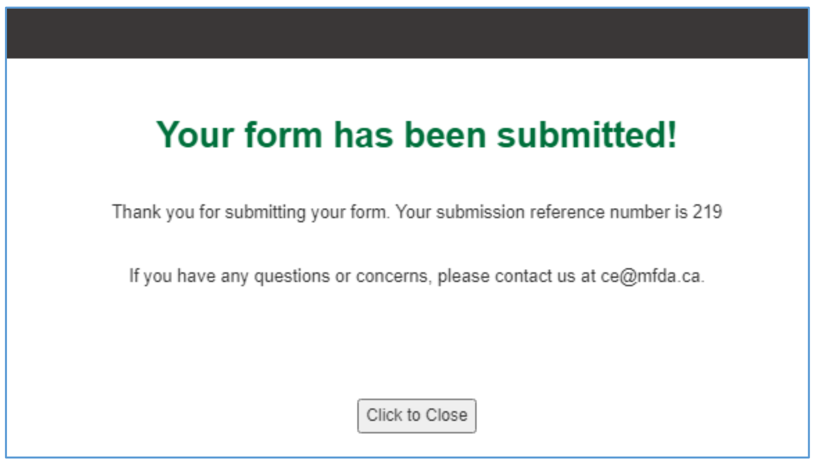


Figure 11: CERTS: Form Successfully Submitted

7.3 Edit a CE Activity

The 'Edit a CE Activity' function can be used to make any material or non-material changes to any course or CE activities that currently exist in the CE catalogue. This form can also be used to make any necessary error corrections. To make changes to an activity, first click on the **Edit an Activity** link on the Dashboard (Figure12a). Enter the applicable search criteria and click on **Find** to view results. Select **Revision** next to the activity that requires editing (Figure 12b on the next page).

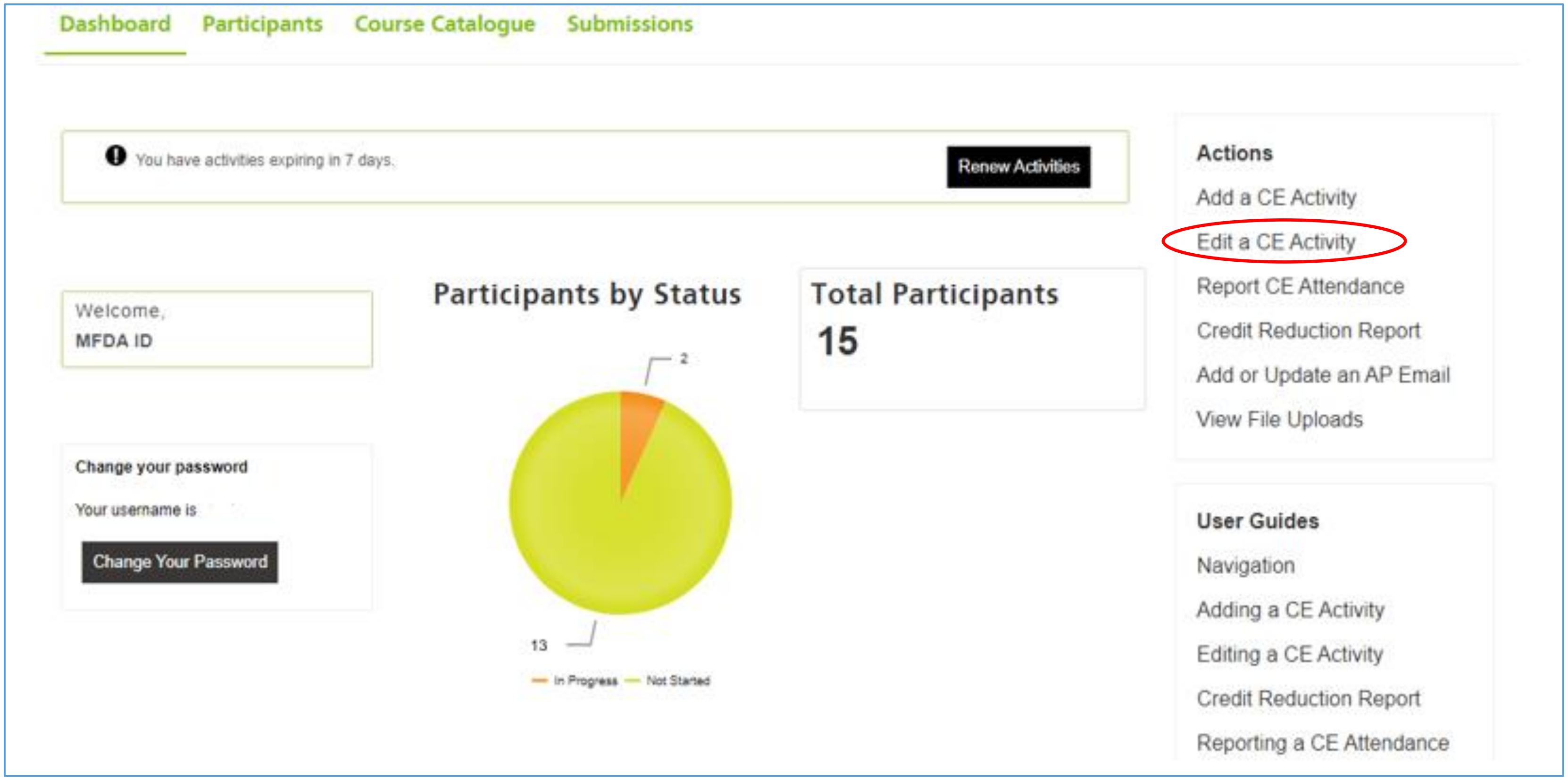


Figure 12a: CERTS – Edit an Activity

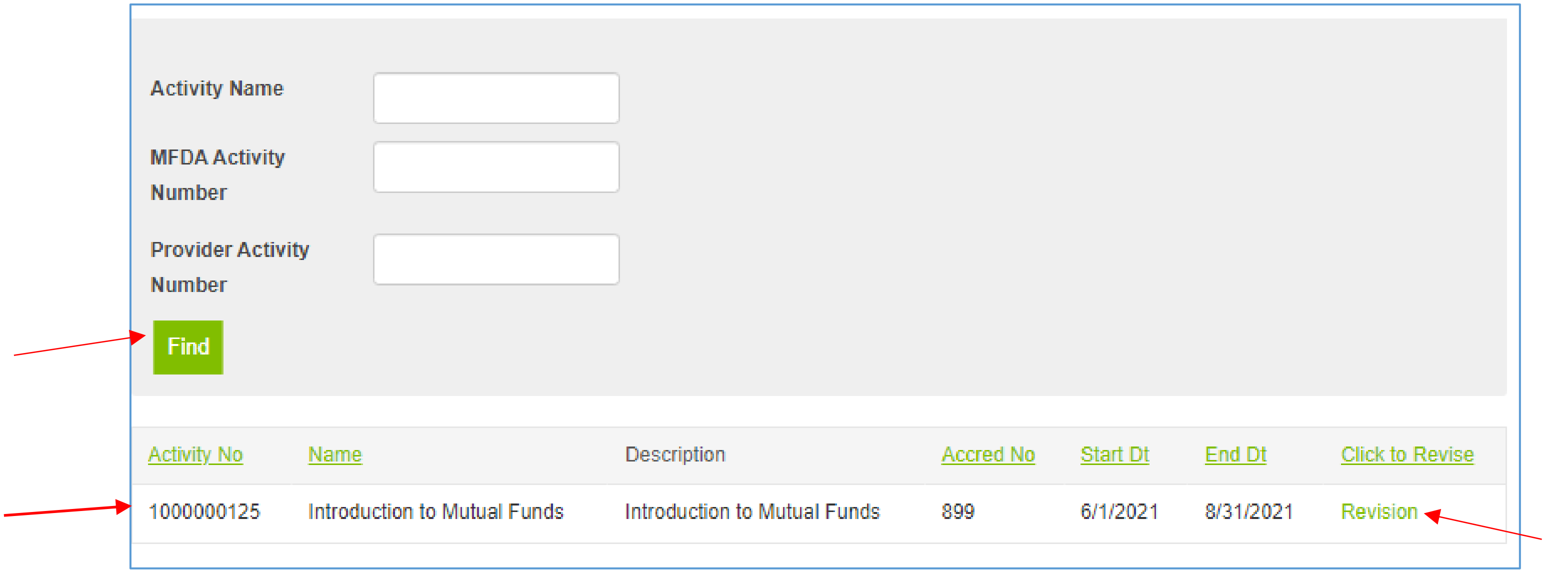
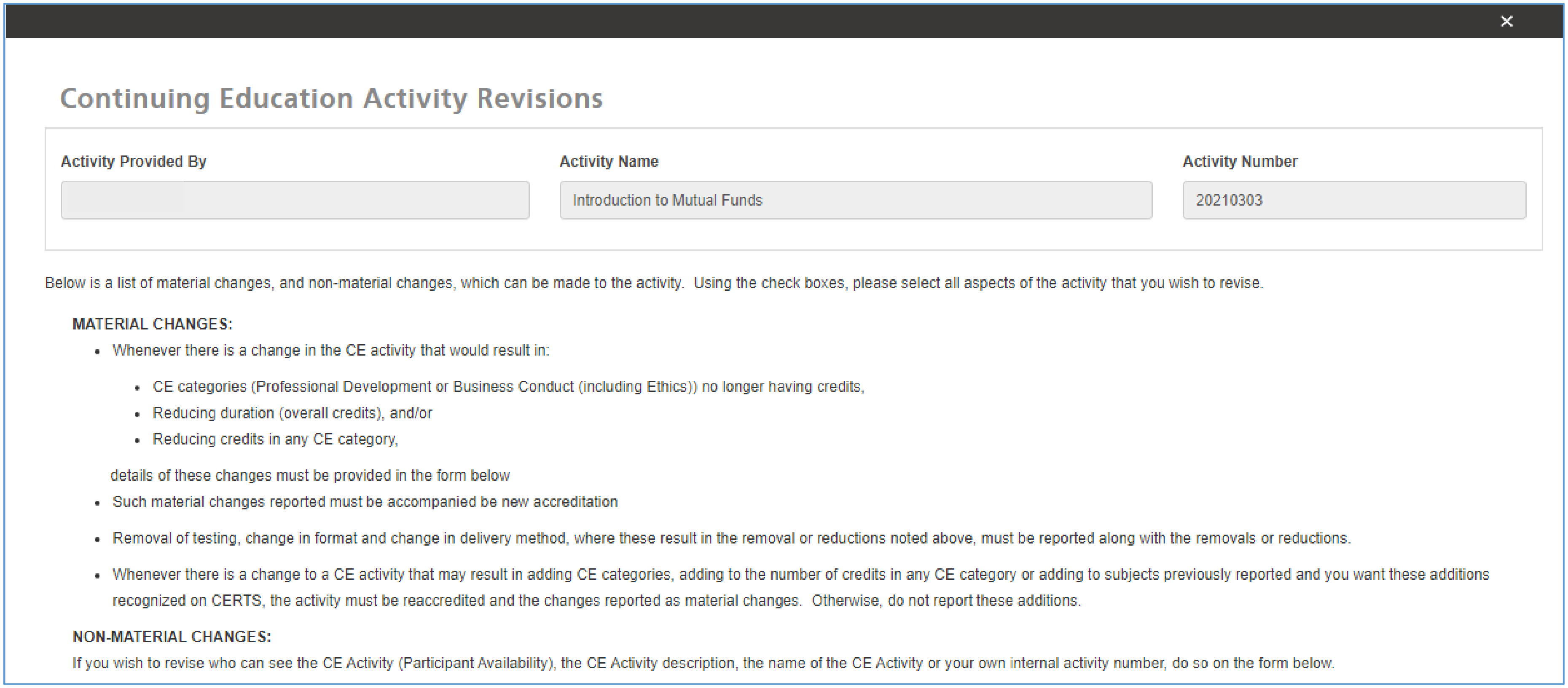


Figure 12b: CERTS – Edit an Activity

The revision form will open in a separate pop-up window (Figure 12c). A material change is classified as a significant change that would alter the existing framework of the course/CE activity. This includes changes to the CE categories, reducing the duration or reducing the credits in any CE category. A non-material change is classified as a change that does not significantly alter the framework of the course/CE activity. This includes changes to activity name, number or description, or changes to participant visibility.



Continuing Education Activity Revisions

Activity Provided By	Activity Name	Activity Number
	Introduction to Mutual Funds	20210303

Below is a list of material changes, and non-material changes, which can be made to the activity. Using the check boxes, please select all aspects of the activity that you wish to revise.

MATERIAL CHANGES:

- Whenever there is a change in the CE activity that would result in:
  - CE categories (Professional Development or Business Conduct (including Ethics)) no longer having credits,
  - Reducing duration (overall credits), and/or
  - Reducing credits in any CE category,

  details of these changes must be provided in the form below
- Such material changes reported must be accompanied be new accreditation
- Removal of testing, change in format and change in delivery method, where these result in the removal or reductions noted above, must be reported along with the removals or reductions.
- Whenever there is a change to a CE activity that may result in adding CE categories, adding to the number of credits in any CE category or adding to subjects previously reported and you want these additions recognized on CERTS, the activity must be reaccredited and the changes reported as material changes. Otherwise, do not report these additions.

NON-MATERIAL CHANGES:

If you wish to revise who can see the CE Activity (Participant Availability), the CE Activity description, the name of the CE Activity or your own internal activity number, do so on the form below.

Figure 12c: CERTS - Edit a CE Activity

Select all of the applicable boxes of the material and/or non-material changes to be made. (Figure 12d).

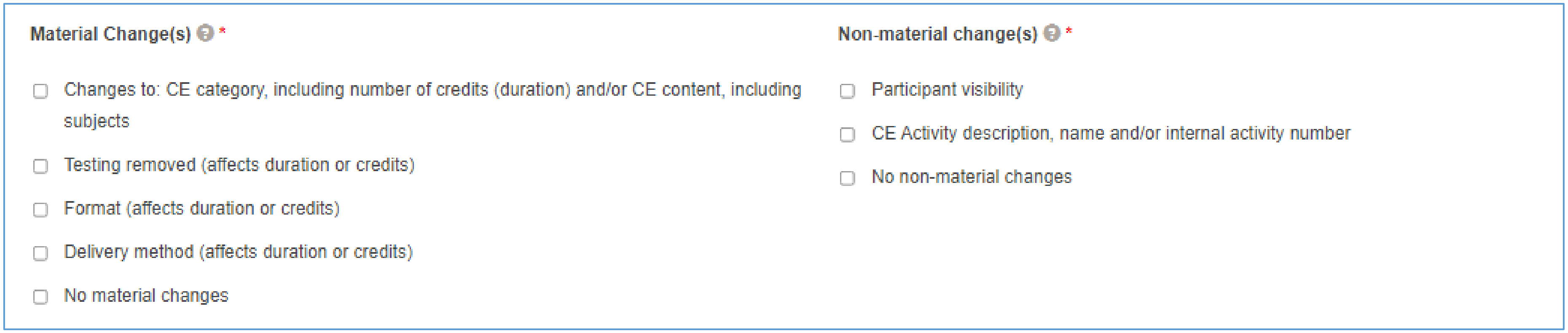


Figure 12d: CERTS – Edit an Activity

7.3.1 Material Change

Once a material change is selected, the corresponding boxes will appear to make the changes (Figure 12e).

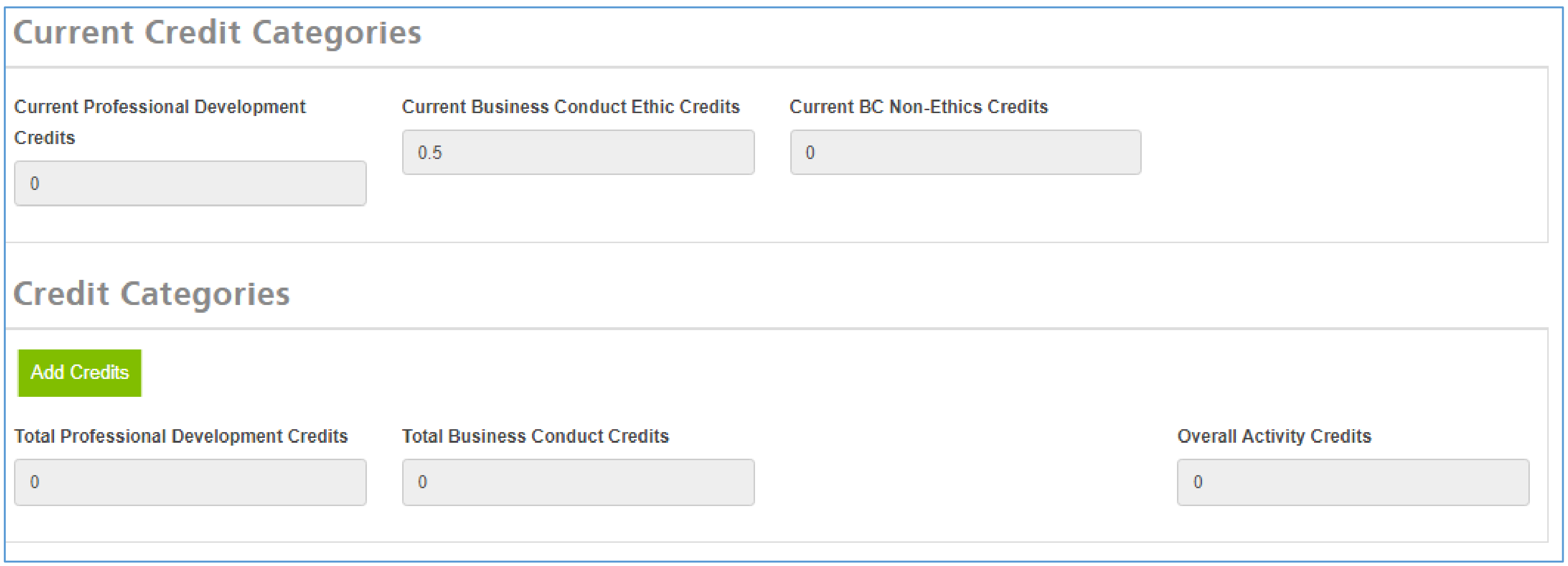


Figure 12e: CERTS – Edit an Activity

Once completed, the user will click the submit button. The user will be prompted back to the original window to which they will need to fill in the “Accreditation Issue Date” and “Accreditation Expiry Date” (Figure 12f).

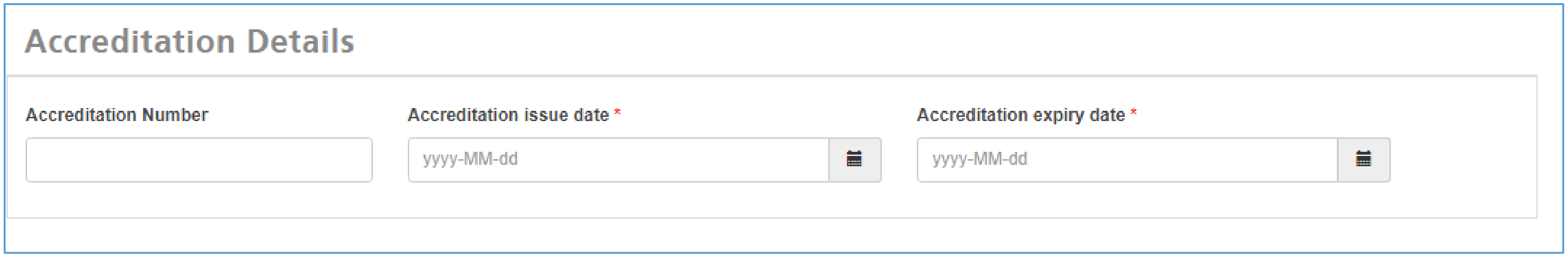


Figure 12f: CERTS – Accreditation Details

Once completed, the user will need to agree to the conditions by checking the User Agreement check box. The user then can submit the form. ***Note: The “No non-material changes” check box must be selected to submit the form.

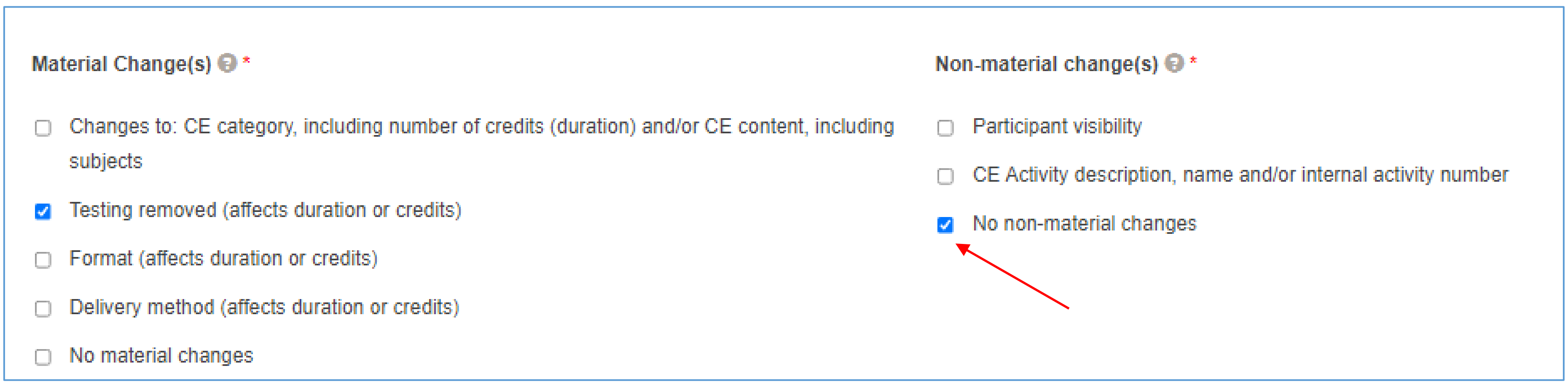


Figure 12g: CERTS – Continuing Education Activity Revisions

After making necessary changes, click **Submit**. Once submitted successfully, a new window will open showing successful completion:

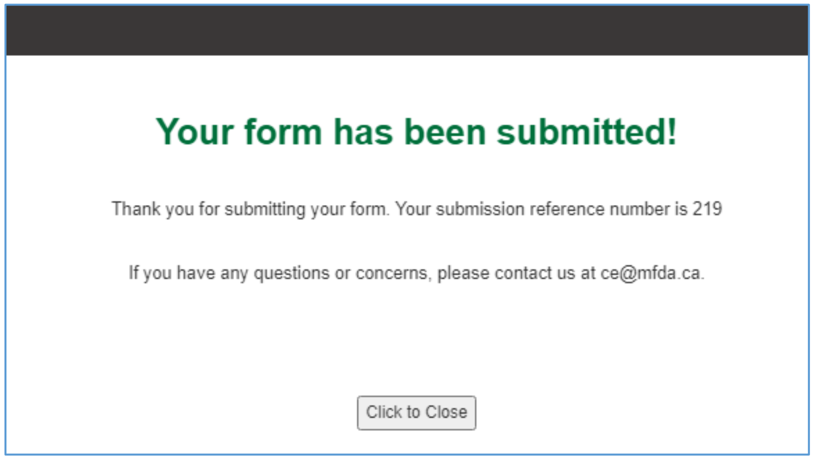


Figure 12h: CERTS – Form Submitted Successfully

7.3.2 Non-Material Change - Changes to Activity Name, Number or Description:

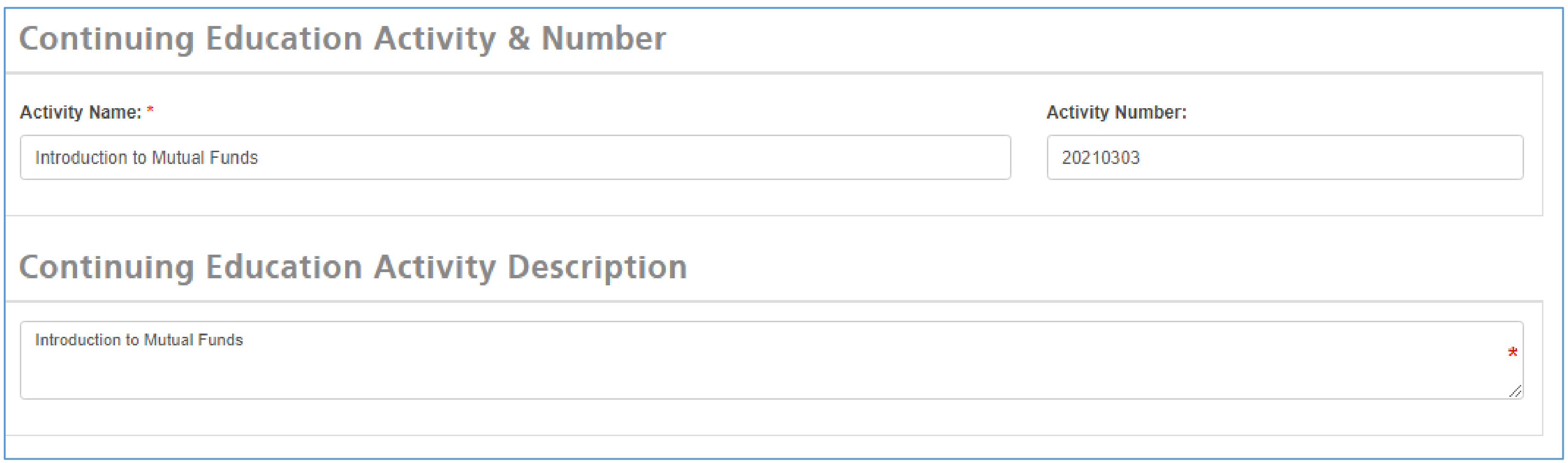


Figure 12i: CERTS – Continuing Education Activity Name, Number or Description

The user will input the new Activity Number/Activity Name/Description
Once completed, the user will need to agree to the conditions by checking the User Agreement check box. The user then can submit the form.
***Note: The “No material changes” check box must be selected to submit the form:

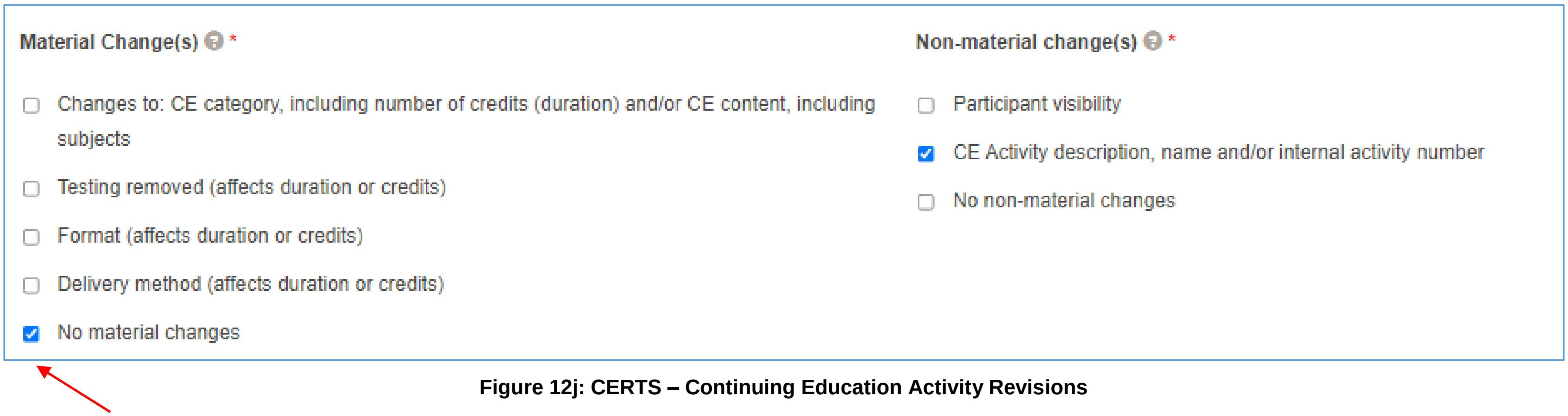


Figure 12j: CERTS – Continuing Education Activity Revisions

Once submitted successfully, a new window will open showing successful completion.

7.3.3 Non- Material Change - Changes to Participant Visibility:

The user will select from the drop down menu of the “Activity Visibility” bar:

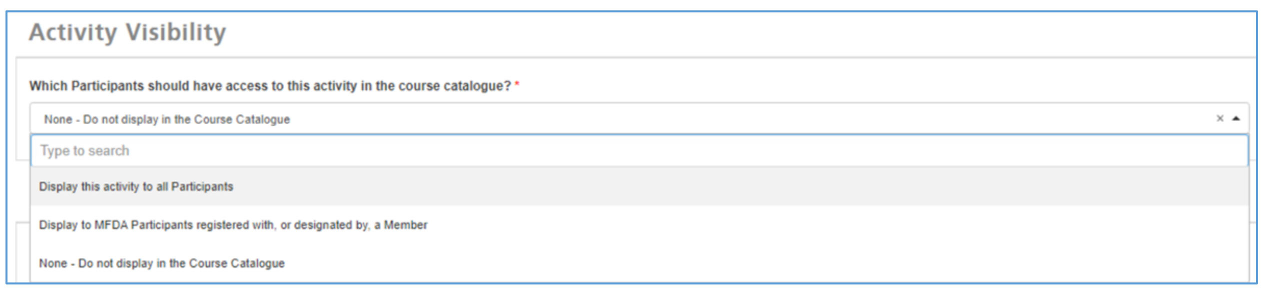


Figure 12q: CERTS – Activity Visibility

Once completed, the user will need to agree to the conditions by checking the User Agreement check box. The user then can submit the form.
***Note: The material changes check box must be selected to submit the form.
Once submitted successfully, a new window will open showing successful completion.

Completed submissions can be verified by clicking on the **Submissions** link from the top of the Dashboard. To review the form submitted, click on the **View Application** link (Figure 13).

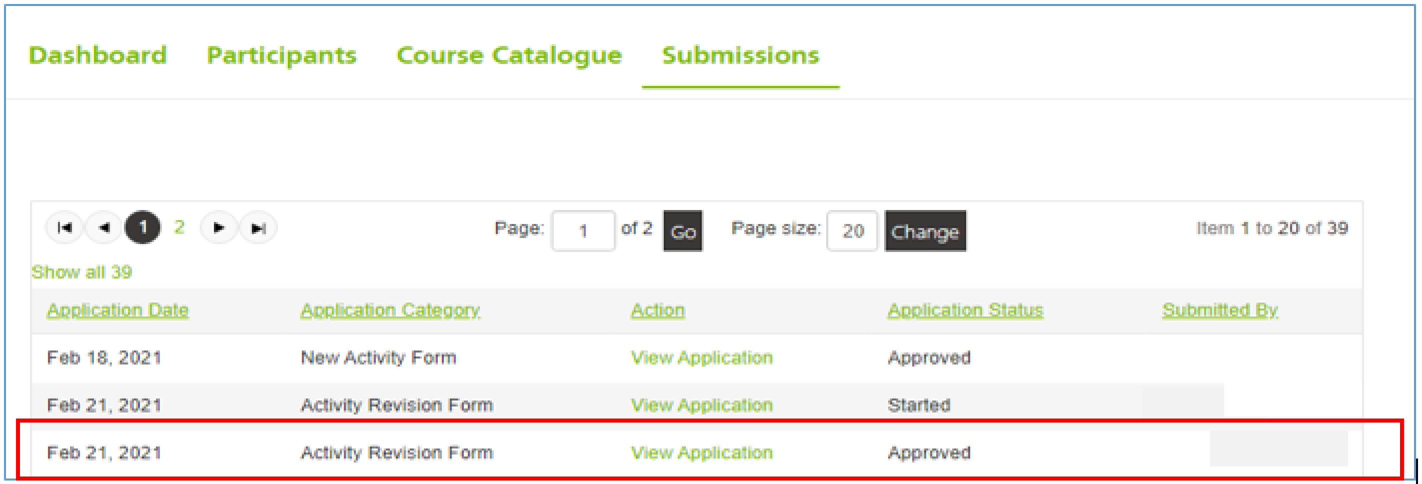


Figure 13: CERTS – List of Submissions

7.4 Renew an Activity

The 'Renew an Activity' function is only used to renew an expiring activity and to add new accreditation details where there are no changes to the underlying CE activity. If any other changes are to be made to the activity (e.g. credit category, subject, etc.), please use the “Edit a CE Activity” Form.

To renew an expiring activity, click on the Renew Activities link on the Dashboard (Figure 14a). <u>Note:</u> A renewal notification with a link will begin appearing 30 days before the expiration date until the activity is renewed.

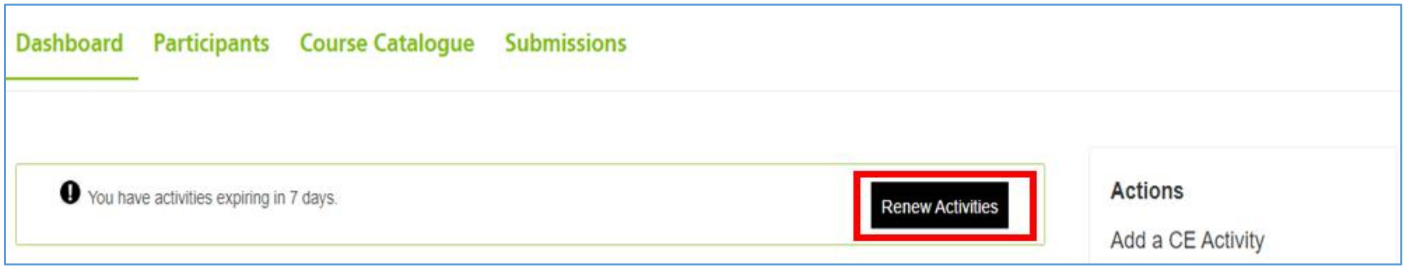


Figure 14a: CERTS - Renew an Activity

The renewal form will open in a separate pop-up window. Find the activity to be renewed as select the **Yes** radio button and enter in the new Accreditation details (Accreditation number and Issue Date (Figure 14b on the next page). If the activity does not need to be renewed, select the **No** radio button. Once completed, click **Submit**.

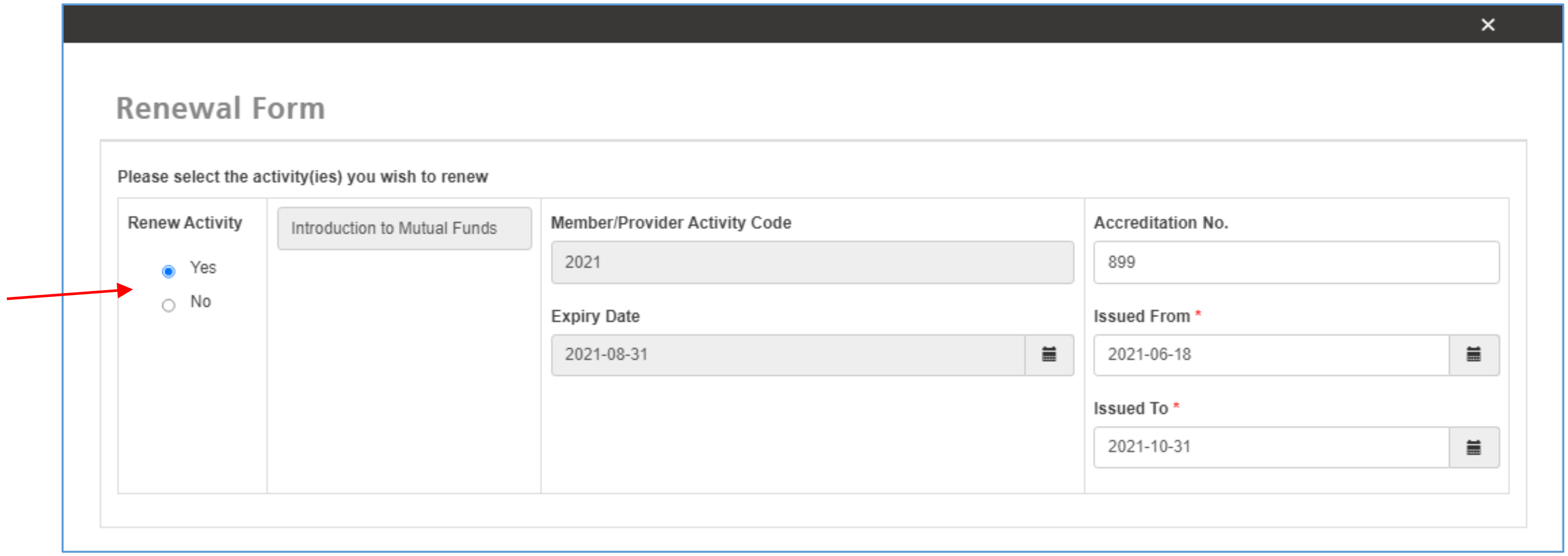


Figure 14b: CERTS - Renew an Activity

Once submitted successfully, a new window will open showing successful completion (Figure 14c).

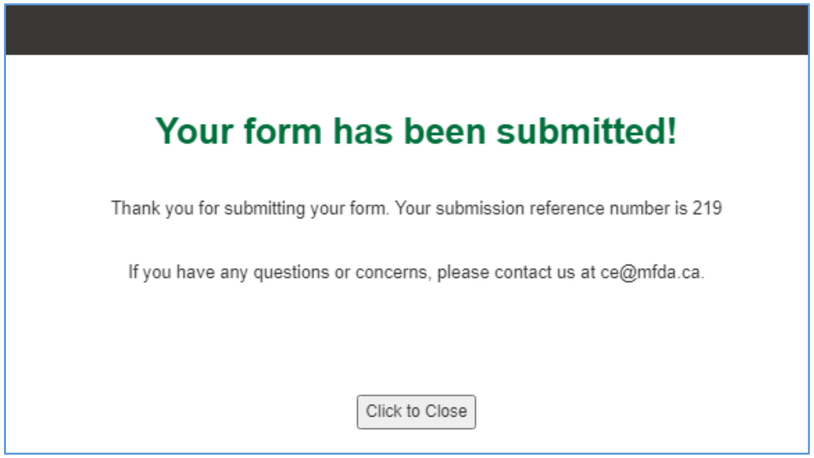


Figure 14c: CERTS – Form Successfully Submitted

Completed submissions can be verified by clicking on the **Submissions** link from the top of the Dashboard. To review the form submitted, click on the **View Application** link (Figure 14d).

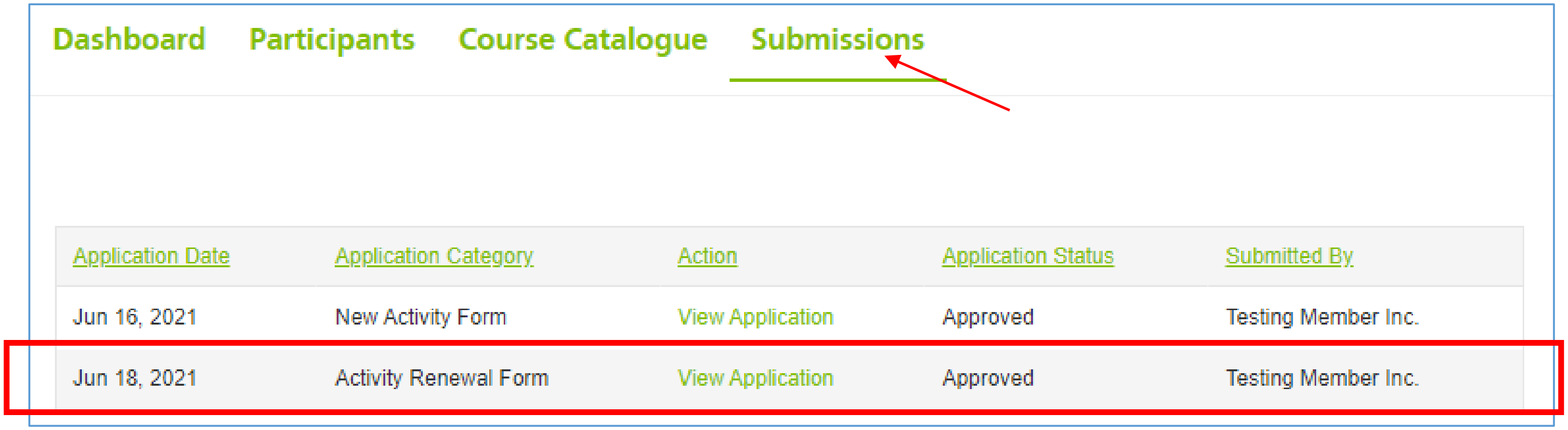


Figure 14d: CERTS - Renew an Activity

8 REPORTING CE ATTENDANCE

The ‘Report CE Attendance’ function can be used to report attendance for participants who have taken a course/activity. Select the **Report CE Attendance** option from the Dashboard to report attendance for Participants in the organization (Figure 15a).

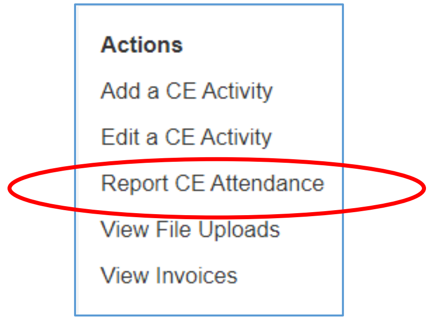


Figure 15a: CERTS - Report CE Attendance

The Member Administrator will have the option to search for the Participant for which they wish to report attendance to a CE activity (See 15b below). It is also possible to search for a Participant using their Name, unique MFDA ID or Location NRD#. Enter search criteria and select “Find” (Figure 15b).

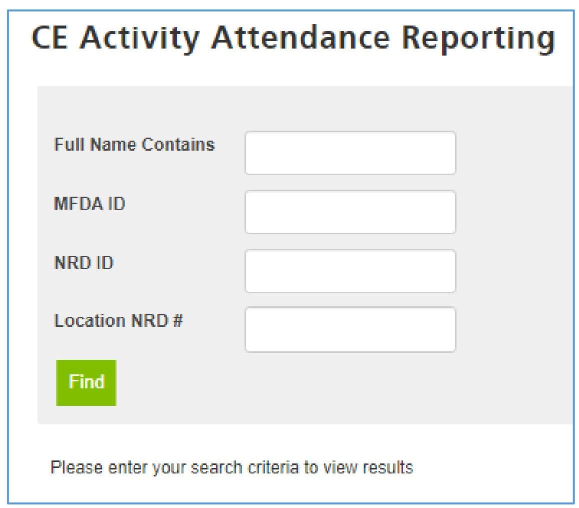


Figure 15b: CERTS - Report CE Attendance

Select **Report Activity** of the applicable Participant from the search results (Figure 15c).

MFDA ID	NRD#	Participant	Firm	Attendance Reporting
78205	2709467	CHARLES BURK	MFDA Testing Member Inc.	Report Activity

Figure 15c: CERTS - Report CE Attendance

The **CE Activity Attendance Reporting Form** will appear in a pop-up window and the Participant's name will be pre-populated in the display box to confirm their profile (Figure 15d).

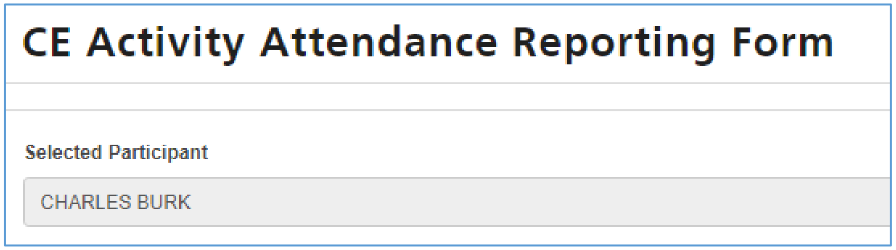


Figure 15d: CERTS - Report CE Attendance

Search for the Activity Title by typing in the name of the applicable course. The system will search the Course Catalogue for the appropriate course. Once found, select the course. Enter the date the CE Activity was completed (Figure 15e on next page).

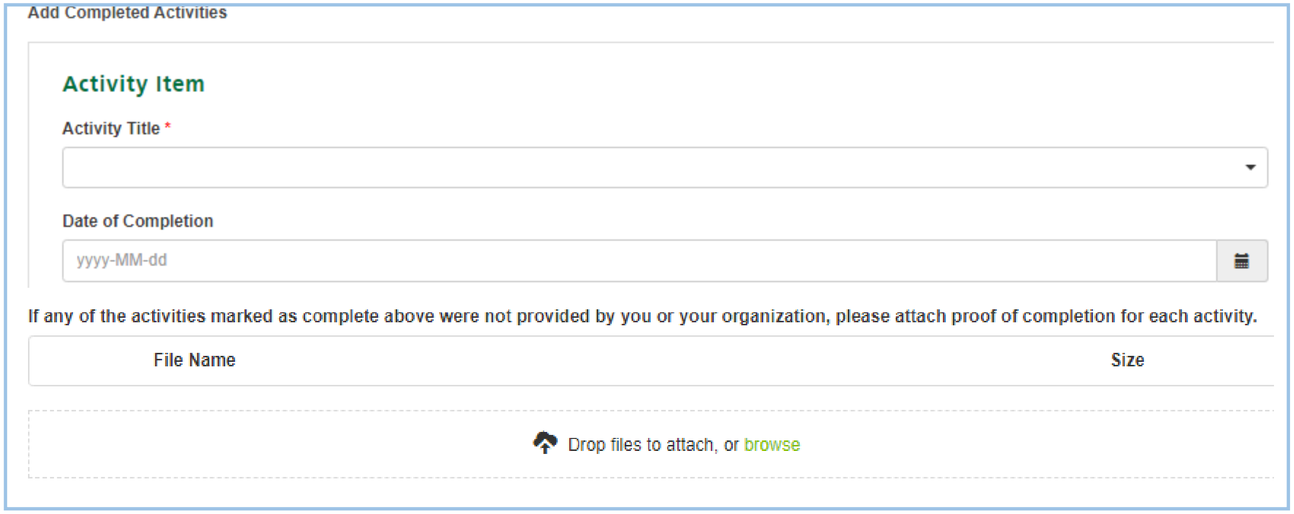


Figure 15e: CERTS - Report CE Attendance

Once all required fields have been completed and reviewed, the user can <u>Save</u> or <u>Submit</u> the **CE Activity Reporting Form**. Once submitted successfully, a new window will open showing successful completion (Figure 15e).

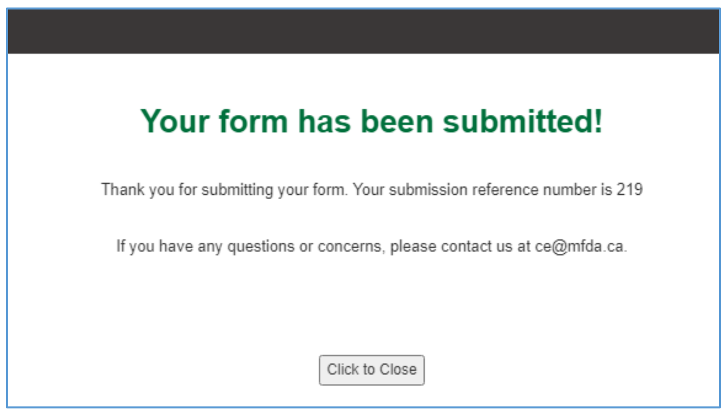


Figure 15e: CERTS – Form Successfully Submitted

Reported Activities can be viewed under the Submissions tab. If an activity is entered twice, the initial entry will be deemed invalid (Figure 15g).

Name	Completion Date	Outcome	Process Date
Advanced Ethics	11/2/2020	VALID	11/2/2020
KYC Requirements	10/5/2020	VALID	10/23/2020
Planning for Retirement	11/2/2020	VALID	11/9/2020
Planning for Retirement	11/2/2020	INVALID	11/9/2020
Complaint Management	11/2/2020	VALID	11/9/2020
AML Laws and Regulations	11/10/2020	VALID	11/10/2020
AML Laws and Regulations	11/10/2020	INVALID	11/10/2020

Figure 15g: CERTS - Report a CE Activity – Invalid Entry

9 CREDIT REDUCTION REPORT (LEAVES OF ABSENCE)

As per MFDA Rule 1.2.6(e), the MFDA permits a Member to reduce the CE credit requirements for a Participant due to leaves of absence of at least 4 weeks. To report a credit reduction, the Member Administrator must submit the Credit Reduction Report.

Select the **Credit Reduction Report** from the right hand actions menu (Figure 16a).

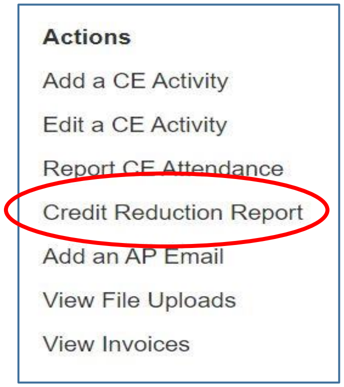


Figure 16a: CERTS – Credit Reduction Report

The system will take you to a search form. Enter the appropriate search criteria and the select the correct Participant (Figure 16b).

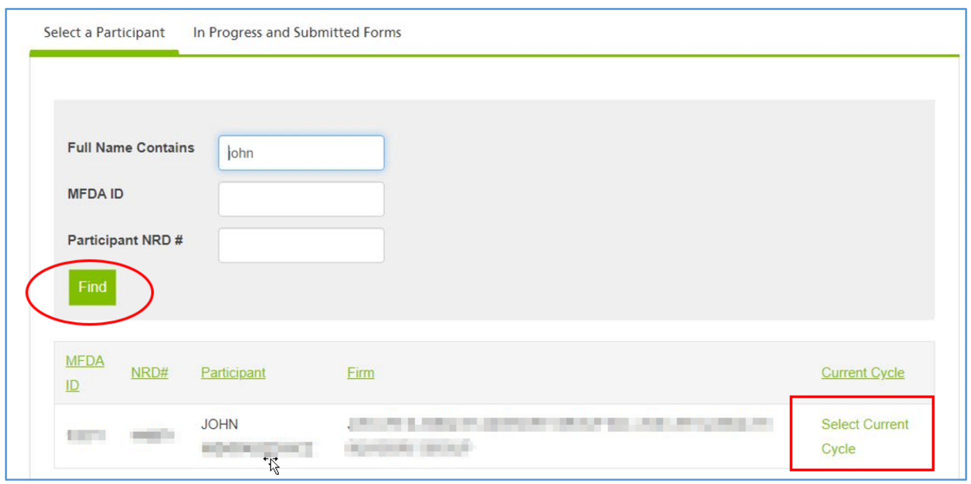


Figure 16b: CERTS – Credit Reduction Report

The Credit Reduction form for the selected individual will appear on screen. Enter the total number of months that the Participant will be on a leave of absence. The system will automatically calculate the New Requirement for the Participant. Click **Submit** (Figure 16c).

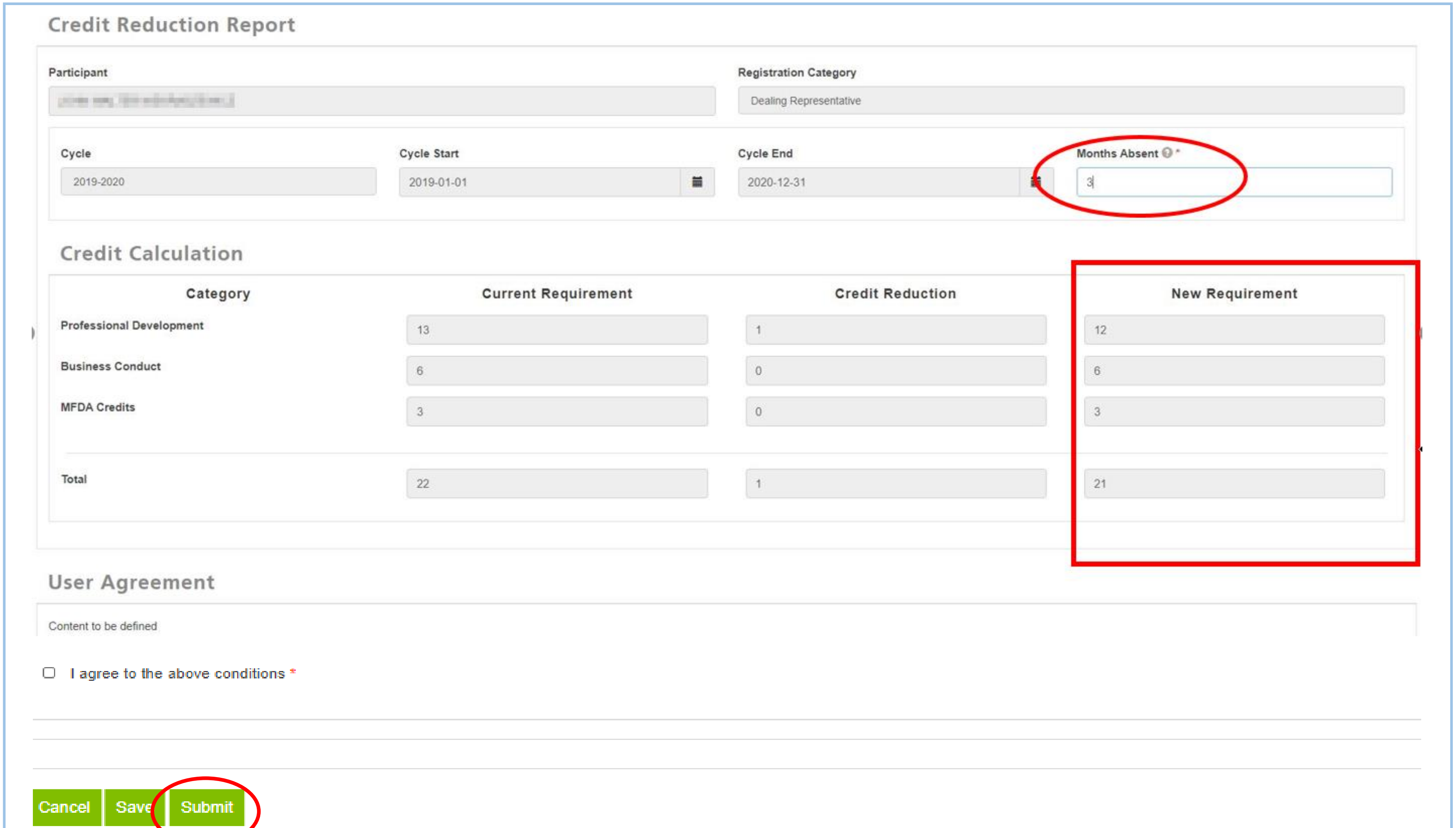


Figure 16c: CERTS – Credit Reduction Report

Once submitted successfully, a new window will open showing successful completion (Figure 16d).

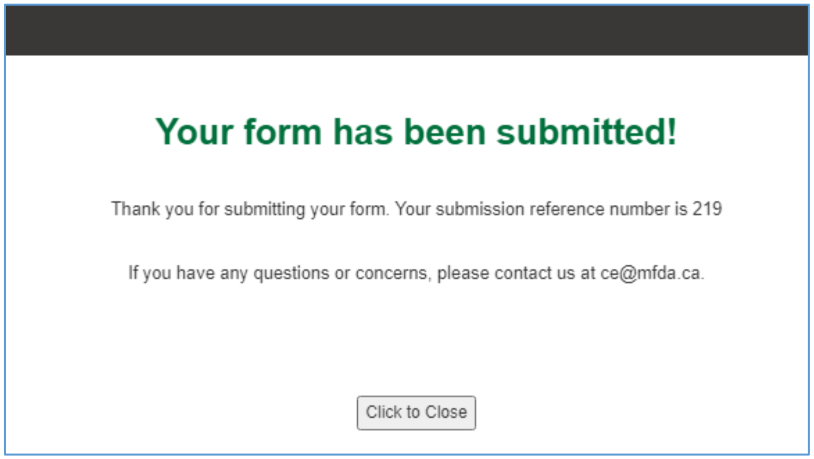


Figure 16d: CERTS – Form Successfully Submitted

10 BULK UPLOADS

This User Guide has demonstrated the entry of records on a one-by-one basis. For Members will a large number of records to be entered in CERTS, a bulk upload option has been made available. This will require the Member to submit a template excel sheet through the MFDA's secure file transfer site. For more information about the bulk upload process please see the **Member Guide** on the Continuing Education page of the MFDA website.