

Perform an Applicability Assessment

Last Modified on 04/11/2025 1:38 pm EDT

Overview

Once an assessment has been scoped, Compliance Team members must review its requirements. All requirements assigned to you and your team will be available in **Compliance Management** > **Determine Applicability** > **Applicability Assessment**.

User Account Requirements

The user must be part of the Compliance Team or be a Requirement Owner & Delegate to see requirements and requirement details.

Related Information/Setup

Please refer to the Launch an Assessment article for more information on launching and reviewing assessments in Compliance Management.

Navigation



1. From the *Home* screen, click the **Home** drop-down menu.

Home Drop-down Menu

2. From the list of applications, click **Compliance Management**.

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Home	~	My Tasks				
Home						
Portal	My T	sks \$ sort Q s	EARCH 🔽 TASKS SUMMARY	Recently	Viewed	
Playbook Application Risk Management	15		I	LE-26	Portfolio Implementation Error Viewed today at 3:40 PM	
Compliance Management Reports				LE-15	Incorrect advisor charges Viewed today at 3:40 PM	
Library	-			LE-18	IT – Failure (e.g., power, systems, infrastructure) Viewed today at 3:40 PM	
	0	Corrective Action Issue Loss	Event • Risk	CA-2	Action Plan 002 Viewed today at 3:40 PM	
	LE-3	Accounting Error Assigned to me on Dec 10th, 2024	REVIEW	1-4	Insufficient control consciousness Viewed today at 3:40 PM	

Compliance Management Application



Performing an Applicability Assessment

1. From the Determine Applicability activity, click a requirement in the Applicability

Assessment section to display it.



Requirement in the Applicability Assessment State

- 2. Review the requirement to determine if it's relevant to your line of business.
 - The **Requirement Name**, **Description**, **Subtopic**, and **Source of Requirement** fields may already be completed, depending on the content in your compliance framework.
- 3. Click the links within the **Requirement Details** section to review the specific areas your organization must comply with.
- 4. **(Optional):** In the **Requirement Information** section, you can use the AI-generated requirement summary feature to provide an AI-generated summary that highlights the key points of the requirement.

Note: By generating a summary, you are agreeing to send selected text for temporary processing by our AI provider in the United States. Click here to learn more about Resolver's use of AI.

a. Click the Generate Al Summary button to generate a summary.



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Compliance Ma	nagement 🔨	/ Determine Applica	bility Asse	ess Risk	Review	Remediation	Monitor	Issues	Alerts	Executive Dashboa	rd		
999.33(a)(1) Proc	ess for Opti	ng							Req-2.1	APPLICABIL	JITY ASSESSMENT)
Details Tre	nding & Analysis	Relationship Grap	n History	Commu	nications								
Requirement	t Information			Require	ment At	tributes							
Review the requirement and associated requirement details to determine if the requirement is relevant to your line of business. If the sequirement is splicable assign a Requirement (where the					Themes								
requirement is not applicable, provide a rationale for not applicable.					Frequency			Dat	e Published by Regul	ator			
Requirement	Name												
999.33(a)(1)) Process for Optir	ıg				Obligation Status			Reg	ulatory Deadline			
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Generate Al Summary Button

Note: The generated AI summary does not persist amongst users and cannot be edited by a user.

6. Select either **Applicable** or **Not Applicable** in the **Applicability Assessment** field.

lf you selected	Then							
Applicable	a. In the Requirement Owner and Requirement Delegate (if							
	applicable) fields, start typing to display a list of available options,							
	then select the relevant user and/or user group.							
	b. (Optional): Click View Requirement Profile to view this							
	assessment's Requirement Profile report, which summarizes all							
	information about the requirement as well as its attached controls							
	and issues.							
	c. Click Send for Risk Assessment . The Requirement Owner will get an email that a requirement has been assigned to them.							
	Applicability Assessment Review the requirement and associated requirement details to determine if the requirement is relevant to your line of business. If the requirement has been determed not applicable, please provide a rationale. Applicability Assessment							
	Assign Requirement Owner If the requirement is applicable to the line of business, assign a Requirement Owner who has responsibility for this requirement within the business. If this individual has a delegate or someone who would submit risk evaluations on their behalf, please assign them as the Requirement Delegate. Requirement Owner Q. Start typing to find Use							
	ARCHIVE SUNCY YOU ROSK ASSESSMENT An applicable requirement.							



Not	a. Enter your reason for marking this requirement Not Applicable in							
Applicable	the Rationale for Not Applicable field.							
	. Click Requirement Not Applicable . The Requirement will move to							
	the Not Applicable workflow state and can be viewed in the							
	Reports application. Note: Only the Compliance Team can reassess							
	a requirement when it's deemed inapplicable.							
	Applicability Assessment							
	Review the requirement and associated requirement details to determine if the requirement is relevant to your line of business. If the requirement has been deemed not applicable, please provide a rationale.							
	Applicability Assessment							
	Applicable Not Applicable							
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	ARCHIVE REQUIREMENT NOT							
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Marking a requirement as Not Applicable.								