

Client Admin User Guide

The following user guide is intended to assist program administrators in the set-up, management and reporting of their Quest CE services. Your firm's Administrative Dashboard may feature some or all of the following items, based on your chosen products and services. For additional information, please contact your Account Executive or reach out to our support team by calling (877) 593-3366 or emailing support@questce.com

95%

CLIENT RETENTION RATE

15+

INTEGRATED SERVICES



500K

ACTIVE USERS

475+

TRAINING OPTIONS



Getting Started



To access your administrative account, login at learn.questce.com/clientadmin


- 1. Enter your email address (username)**
- 2. Select an account (if applicable).**
















Account Types include, Administrator, Supervisors and Approver.

These access points will be based on your individual program settings.

- 3. Enter password to begin.**
-

System Icon Legend

Below are the system's main menu items. *This page is actionable for your convenience, click on any of the below sections to jump to it's associated page.* We have also provided a page-by-page **Guide** , accessible throughout the system. **Please note that only purchased services will be viewable in your dashboard.**

Icons	Name	Function
	Account	<i>Edit firm-specific details and program settings; create and maintain branches, departments, supervisors, administrators, etc.</i>
	User	<i>Update user information, add or terminate users, promote user to supervisors, unlock user accounts, send password resets, etc.</i>
	Training	<i>Assign training to users</i>
	Questionnaire	<i>Assign questionnaires associated with your Annual Compliance Meeting and track, manage and respond to user inquires.</i>
	Disclosure	<i>View questionnaires for the Disclosures types associated with your account</i>
	Policy	<i>Create, manage and store firm policies</i>
	Support	<i>Track and submit support tickets and access the Knowledge Base</i>
	Discussion Board	<i>Track, approve, and respond to comments/questions submitted by your users regarding training</i>
	Queue	<i>Setup and maintain Business Rules and Approver Groups while tracking managing and maintaining submitted disclosures</i>
	Voucher	<i>Track the status of voucher codes associated with your account</i>
	Utilities	<i>Locate user certificates, import data, send an email blast, create a lesson plan, setup onboarding, bulk assign user alert messages</i>
	Reporting	<i>View. Filter, organize and download on-demand reports related to user activity, firm statistics, and administrative items.</i>
	Menu Options	<i>List of actionable items per by page</i>
	Help Guide	<i>Directions, tips and tricks by page</i>
	Branch Audit	<i>Schedule, execute and manage internal and individual audits</i>



Account Functionality

In the **Account Functionality** tab you will be able to maintain, edit and manage your firms contact information, and program settings, edit branch and department information, add, edit and manage supervisor and administrative information, edit firm limits, access the resource library and print certificates.

See below for detailed instructions on managing these materials.

In Account > Detail > Main


View Main Contact information, Compliance Department Contact Information, Relationship, and FINRA Information.

In Account > Detail > Service Options


View all services currently utilized with Quest CE for your training program. Please contact your account representative for more information and/or questions regarding your service options.

In Account > Detail > Settings


Update Primary Contact Information:

- Click the **Edit**  icon to the right
- Edit necessary fields
- **Update** when finished


Update Compliance Department Contact Information:

- Click the **Update**  icon to the right
- Edit necessary fields
- **Update** when finished



Update Exam Settings:

- Click the **Update**  icon to the right
- Flip *Email on Fail* flag to “On” or “Off” – If flipped to “On,” this will trigger an email anytime someone fails an exam.
 - If the flag is set to “On,” input email address (or multiple addresses separated by a semicolon ‘;’) of who should receive an email if an exam is failed
- **Update** when finished



Updated License Automated Reminders:

- Click the **Update**  icon on the right to edit
- Flip *Reminder* flag to “On” or “Off” for each of the three reminders
- Indicate the number of *day(s) before expired* each email should go out.
 - 120, 60, and 30 days will autofill as default numbers.
- **Update** when finished


Update settings for Registered Rep:

- Click the **Management**  icon to the right of any of the listed forms
- Click the **Update**  icon to turn on the flag to notify users’ supervisor upon submission
- Click the **Add Administrators** button to assign an administrator to a form and upon submission the specified administrator will be notified via email
 - Check off the box(s) of the administrator(s) to receive notification
 - **Add** when finished
- Click the **Add Supervisors** button to assign a supervisor to a form and upon submission the specified supervisor will be notified via email
 - Check off the box(s) of the supervisor(s) to receive notification
 - **Add** when finished

Update settings for Producer:

- Click the **Management**  icon to the right of any of the listed forms
- Click the **Update**  icon to turn on the flag to notify users supervisor upon submission
- Click the **Add Administrators** button to assign an administrator to a form and upon submission the specified administrator will be notified via email
 - Check off the box(s) of the administrator(s) to receive notification
 - **Add** when finished
- Click the **Add Supervisors** button to assign a supervisor to a form and upon submission the specified supervisor will be notified via email
 - Check off the box(s) of the supervisor(s) to receive notification
 - **Add** when finished

Add User Profile Management:


- Click the **Update**  icon on the right to edit
- Select user access to profile
 - Read only

- Custom Control
- Editable






In Account > Branch

Details of current Branches linked with the Firm. All firms will have a default branch, "HOME-OFFICE," associated with their account automatically

Add a new branch:

- Click the **Add**  icon
- Fill out all required* fields including: Name, Type, Code, etc.
- Click **Add** when finished


View/manage branch details:

- Locate specific branch in branch list
- Click the **Management**  icon to the right
- Below the branch details are three tabs: *Department*, *Supervisor*, and *User* (*Auditor will also show if applicable*)
 - Clicking any of these tabs will display the associated list of information for this branch.
 - Clicking the **Management**  icon in any row will allow you to manage the details of that specific item: a user record, department or supervisor record, etc.
 - By clicking the **Add**  icon in any tabbed section, you will be able to add an associated record to this branch (i.e. Supervisor(s), user(s), etc.)
- Click the **Branch Report**  icon in the top right corner to view a PDF of the branch's details including a list of supervisors, users, departments and branches.
- Clicking the **Inactive Users**  icon will display a list of the branch's inactive supervisors and/or users






In Account > Department

List of all branch departments and how many supervisors/users are assigned to each. **Note: Make sure all branches are setup before creating any departments*

Add a new department:

- Click the **Add**  icon to the right
- Input the department name and select the branch it is located at
- **Add** when finished


Manage a specific branch department:

- Click the **Management**  icon to the right of a specific department
- To edit Department name click the **Update**  icon at the top right
 - Make edits necessary and **Update** when finished
- Add a new supervisor/user by clicking the **Add**  icon at the top right. *Please note each department can have only one supervisor.*
 - Click the **Add**  icon next to (each) individual you would like to add as a user/supervisor
- Remove a user/supervisor from the department by clicking the **Remove**  icon



In Account > Supervisor

List of all current supervisors for the firm


Create a new Supervisor:

- Click the **Add**  icon in the top, right corner
- Select **Create New User**
 - This will create a new user account while simultaneously making the user a supervisor
- Fill out all required* information
- Make sure the *Set as Supervisor* box remains checked
- **Add** when finished



Promote an existing user to a Supervisor:

- Click the **Add**  icon in the top, right corner
- Select **Promote Existing User**
 - A list of currently active users will populate
- Find user in list, or use page filter bar in the top, right corner to search for a specific user
- Click the  icon to the right to promote the user to a supervisor









Unlock a Supervisor's account:

- Find supervisor in list
- Click the **Unlock Supervisor**  icon located in the *Lock* column
- Select **Yes** when pop up box appears "Are you sure you want to unlock this supervisor?"



OR

- Find supervisor in list
- Click the **Management**  icon to the right of the supervisor
- Click the **Additional Actions**  icon in the top, right corner and select **Unlock Supervisor**



View/Manage a specific Supervisor's details:

- Click the **Management**  icon to the right of the supervisor
 - A list of assigned reps will appear for the selected supervisor under the **Reps** tab
 - Clicking the **Branches** tab will show a list of branches the supervisor is associated with
 - **Departments** will display branch departments the supervisor is associated with
- Click the  icon within the *Reps* tab to assign reps
 - Click the **Remove**  icon to unassign a rep from a supervisor
- Click the  icon within the *Branches* tab to assign to a branch
 - Find branch in list and click the  icon to the right
 - Fill out required information
 - **Assign** when finished
 - Click the **Remove**  icon to unassign from a branch
- Click the  icon within the *Departments* tab to assign to a branch department
 - Click the **Remove**  icon to unassign from a department

Remove supervisor status:


- Find supervisor in list
- Click the **Management**  icon to the right
- Click the **Additional Actions**  icon in the top, right corner
- Select **Remove Supervisor Status**
 - Supervisor status is revoked, but user status will remain

Lock Supervisor Account:




- Find supervisor in list
- Click the **Management**  icon to the right
- Click the **Additional Actions**  icon in the top, right corner
- Select **Lock Account**
 - Supervisor account remains, but account is locked

In Account > Administrator




Create a New Admin:

- Click the **Add**  icon in the top, right corner
- Fill out all required* information
- Select proper setting flags
 - Branch Auditor: if access to the audit capabilities of Quest's Branch Audit tool is required
 - BA Supervisor: if access to the management portion of Quest's Branch Audit tool is required
 - BA Admin/Reporting Access: provides the ability to navigate between the Branch Audit tool and Renaissance Client Admin
 - Content Manager Only: provides access to the creation of custom learning items
 - Approval Access Only: provides only access to the Queue portion of Renaissance Client Admin for review purposes
- **Add** when finished

Manage an existing Admin Account:


- Find Admin in list
- Click the **Management**  icon to the right
- Click the **Update**  icon in the top, right corner to edit or click  to remove access

Unlock an Admin Account:


- Find Admin in list – a locked admin account will display the **Locked**  icon in the *Lock* column
- Click the **Management**  icon to the right
- Click the **Update**  icon in the top, right corner
- Flip the *Admin Lockout* flag to “N”
- **Update** when finished

In Account > Firm Limits


Set Firm Limits for Gifts:

- Click the **Update**  icon in the top, right corner
- You have the ability to set an individual budget, give limits, and receive limits
- **Update** when finished

Set Firm Limits for Entertainment:

- Click the **Update**  icon in the top, right corner
- You have the ability to set an individual budget, give limits, and receive limits
- **Update** when finished

Set Firm Limits for Political Contributions:

- Click the **Update**  icon in the top, right corner
- Fill in Max Contribution box
- **Update** when finished


Turn On/Off Manual Override:

- Set Flag to On or Off
- **Update Flag** when finished



In Account > External Firms

List of external firms your firm submits gifts/entertainment disclosures for.




Add an External Firm:


- Click the **Add**  icon
- Input Firm Name
- **Add** when finished

Add an individual to an External Firm:



- Find external firm in list
- Click the **Management**  icon to the right
- Click the **Add**  icon
- Input individuals name
- **Add** when finished

Manage an existing External Firm:




- Find external firm in list
- Click the **Management**  icon to the right
- Click the **Additional Actions**  icon and:
 - Select **Update** to edit External Firm name
- Click the **Remove**  icon to remove an individual from an External Firm that has not been used

- Click the **View User**  icon next to an individual's name to view Receiver/Giver items

Merge duplicate external firms together:

- Click the **Management**  icon to the right of the external firm you would like to be merged with another existing external firm
- Click the **Additional Actions**  icon in the top, right corner and select **Merge**
- Find external firm in *Target Firm* drop down box you wish to merge with
- Click **Merge**
 - All data from the current firm will be transferred to the target firm, and the current firm will be deleted


Merge duplicate individuals in an external firm together:

- Click the **Management**  icon to the right of the external firm with a duplicate individual
- Click the **View User**  icon next to the individual you would like to be merged
- Click the **Additional Actions**  icon in the top, right corner and select **Merge**
- Find the individual in *Target Individual* drop down box you wish to merge with
- Click **Merge**
 - All data from the current individual will be transferred to the target individual, and the current firm will be deleted



In Account > Resource Library

A general resource library

Upload a file:

- Click the **Add Resource Group** button
- Input resource group name and **Add** when finished
- Click the **Add**  icon to upload a file


Maintain Resource Library:

- Click the **Update**  icon to make edits to the group name
- Click the **Remove**  icon next to any file to delete it



In Account > Product Certifications

View/add insurance Product Certifications users are authorized to sell.

Add a Product Certification:

- Click the **Add**  icon
- Input Product name and click **Add** when finished
 - This product certification will then be available to add to a producer's summary

Update/Remove a Product Certification:

- Click the  icon to make any edits to the product name
- Click the **Remove**  icon

In Account> Assign Outside Training

Used for tracking additional training completed outside of the Quest CE system.

Assign Outside Training:

- Input Training Name, credits awarded, and date completed
- Check off all users who completed the same training on the date specified
- Click **Assign** when finished




User Functionality










In the **User Functionality** tab you will be able to add and manage users, producer summaries, unlock and reset user profiles and passwords, promote users to supervisors and manage terminates users as needed.










See below for detailed instructions on managing these materials.

To add a new user:






- Click the **Add User**  icon in the top right corner
- Fill out all required* information
- **Add** when finished
- **Turn on/off** each service you want assigned to that individual user's account
- Once complete, click **continue**









To manage user info:

- Find user in list, or use search bar in the top, right corner to search for a specific user
- Click the **Management**  icon to the right
- Select a category from the top you wish to view and/or manually update for a specific user:
 - Profile
 - Click the  icon to change/update the branch a user is located at
 - Click the  icon to update the current settings for the user
 - Click on the  icon to terminate the user
 - Identifiers
 - Click the  icon to add license numbers
 - Click the  icon to update unique identifiers
 - Training
 - Click the  icon to add training
 - Click on the  icon to remove a course
 - Questionnaire
 - Click the  icon to add a questionnaire
 - Disclosure




- Click the  icon to submit a disclosure on behalf of a user
 - Click the Management  icon to view the details of that disclosure
 - Policy
 - Click the  icon to add a policy
 - Click the  icon to remove a policy
 - Support
 - Click the  to the right of a ticket to view ticket details/activity
 - Click the  icon to go back to the User Profile
 - System Settings
 - Where applicable, Click the  icon to update individual limits for gifts, entertainment, and political contributions
 - Click the  icon to update the current settings for the User
 - Alert Message
 - View user alert message currently setup for a user's profile
 - Click the  icon to update the User's Alert Message
- **Manage a User's Rep Summary**












Please contact your Quest CE Account Representative if you would like to utilize this feature.

- Click on **Rep Summary** tab on the left, side menu
- Select a category at the top you wish to view/manually update
 - Identifying Information
 - Click the  icon to update a user's home address
 - Click the  icon to update a user's business address
 - Click the  icon to edit the Additional Identifying Information
 - Residential History
 - Click **Add** to input residential history
 - Click the  icon to update address
 - Click the  icon to remove
 - Employment History


- Click **Add** to input employment history
 - Click the  icon to update
 - Click the  icon to remove
 - SRO Registrations
 - Click **Add** to input SRO registrations
 - Click the  icon to update
 - Click the  icon to remove
 - Jurisdiction Registrations
 - Click **Add** to input jurisdiction registrations
 - Click the  icon to update
 - Click the  icon to remove
 - Professional Designations
 - Click **Update** to input any professional designations
 - Flip a flag to “On” if a user has the professional designation
 - Input license number for specific designation
 - Click **Add** when finished
 - Other Names
 - Click **Add** to input other names
 - Click the  icon to update
 - Click the  icon to remove
- **Manage a User’s Producer Summary**

Please contact your Quest CE Account Representative if you would like to utilize this feature.


- Click on the **Producer Summary** tab on the left, side menu
- Select a category from the top you wish to view/ manually update:
 - Identifying Information
 - Click the  icon to change/update identifying information
 - Click the  icon to update a user’s home address
 - Click the  icon to update a user’s business address
 - Carrier Appointments
 - Click **Add** to input new carrier appointment

- Click the  icon to update license
- Click the  icon to remove appointment
- Product Certifications
 - Click **Add** to input new product certification
 - Click the  icon to update
 - Click the  icon to remove certification
- State/Designation Licenses
 - Click **Add** to input new license
 - Click  to add a Line of Authority
 - Click the  icon to update
 - Click the  icon to remove
- CE Requirements
 - Click **Add** to input CE Requirements
 - Click the  icon to update
 - Click the  icon to remove
- Courses Taken
 - Click **Add** to input new course taken
 - Click the  icon to update
 - Click the  icon to remove

To unlock a user account:


- Find user in list, or use search bar in the top, right corner to search for a specific user
- Click the **Additional Actions**  icon
- Select **Unlock Account**
 - This action *will not* reset a user's password or notify a user that his/her account has been unlocked

To send a user a password reset:


- Find user in list, or use search bar in the top, right corner to search for a specific user
- Click the **Additional Actions**  icon
- Select **Password Reset**
 - User's password will be set to default password: Welcome+123

- User will receive email notifying him/her of password reset



To promote a user to a supervisor:

- Find user in list, or use search bar in the top, right corner to search for a specific user
- Click the **Additional Actions**  icon
- Select **Set As Supervisor**




To terminate a user:

- Find user in list, or use search bar in the top, right corner to search for a specific user
- Click the **Additional Actions**  icon
- Select **Terminate**
- Input termination date in indicated box
- Click **Terminate** when finished

To view or manage terminated users:

- Click the **Additional Actions**  icon in the top, right corner
- Select **Terminated Users**
 - List of all terminated users will populate
- Click the **Additional Actions**  icon and select **Users** to return to your active users list

To un-terminate a user:

- Click the **Additional Actions**  icon and select **Terminated Users**
- Find terminated user in list, or use search bar in the top, right corner to search for specific user
- Click the **Management**  icon to the right
- Click the **Additional Action**  icon
- Select **Un-terminate**
 - The user will show in your active user list





Training Functionality

In the **Training Functionality** tab you will be able to add and manage your programs training materials and/or utilize **Course Builder** to create and launch custom firm-specific courses. All training types currently assigned to your account will display in the left, side menu. If you are not seeing a course you would like to assign in your account, please contact your Quest CE Account Executive.

See below for detailed instructions on managing these materials.

To add training to user(s):

- Select category in the left, side menu
- Find course in list and click the **Management**  icon
- Click the  icon in the top, right corner to assign course
- Check off box to the right of each user that needs the course assigned
 - Clicking the first check box will check off all users
- **Assign** when finished

To access Course Builder:

- If you've purchased **Course Builder**, [click here for further Instructions](#).











Questionnaire Functionality



In the **Questionnaire Functionality** tab you will be able to assign and manage your programs questionnaires, view user responses, and/or utilize **Questionnaire Builder** to create and launch custom firm-specific surveys. All questionnaire types currently assigned to your account will display in the left, side menu. If you are not seeing a questionnaire you would like to assign in your account, please contact your Quest CE Account Executive.

See below for detailed instructions on managing these materials.


To view an individual's responses for a questionnaire:

- Select a questionnaire category in the left, side menu
- Click the **Additional Actions**  icon and select **Responses**
- Click the **Management**  icon next to desired questionnaire
- Click the **CVS**  icon to export responses to an excel spreadsheet
- Click the **PDF**  icon to export responses to a PDF document
- Click the **Add Comment** button to add an overall comment for the selected questionnaire
 - Check off the following when adding a comment:
 - Disposition – to disable further comments
 - Send Email – to send an email to the user regarding comment made
 - Display on User Side – comment will be visible to user
- If applicable, click the **View** button to see standard forms
 - Click **Review** to view a specific standard form
 - Click the **CVS**  icon to export standard form responses to an excel spreadsheet
- Click the  icon to the right to edit a specific questionnaire response
- Click the  icon to the right to add/view comments to a specific questionnaire response
 - Check off the following when adding a comment:
 - Disposition – to disable further comments
 - Send Email – to send an email to the user regarding comment made
 - Display on User Side – comment will be visible to user
- If an answer has been modified, click the  icon to view previous answer
- Click the **System Log** tab to review an audit of the questionnaire

To view all responses for a questionnaire:

- Select a questionnaire category in the left, side menu
- Click the **Additional Actions**  icon and select **Responses**
- Click the **Additional Actions**  icon and select **Export All Responses**


To assign a questionnaire:

- Select a questionnaire category in the left, side menu
- Click the **Additional Actions**  icon and select **Assign**
- Any un-assigned users will populate
- Check off box to the right of each user that needs the course assigned
 - Clicking the first check box will check off all users
- Click **Assign** when desired users have been selected
 - View any users currently assigned the questionnaire by clicking on the **Assigned Users** tab

To access Questionnaire Builder:

- If you've purchased **Questionnaire Builder**, [click here for further Instructions](#).

To review/sign-off on a Representative's ACQ:

- Once a user's assigned ACQ reaches a status of **Complete**, click the **Review** button.
- Upon review of the ACQ, click the **Submit Review** button.
 - A date stamp will be generated with the name of the reviewer.
 - An optional text field is available for the reviewer to provide any related review comments.
- To see which ACQs have been reviewed, select a questionnaire, click the **Additional Actions**  icon and select **Responses**. In the upper right-hand corner, click the **Additional Actions** icon once more and **Export Respondents**. The **Review Date**, **Name of the Reviewer** and most recent **Review Comments** will be available.









Disclosure Functionality

In the **Disclosure Functionality** tab you will be able to manage your programs disclosure questionnaires. All disclosure types currently assigned to your account will display in the left, side menu. If you are not seeing a disclosure you would like to assign in your account, please contact your Quest CE Account Executive. To activity edit, manage and maintain individual disclosures, please view the **Processing Queue Functionality** tab.

See below for detailed instructions on managing these materials.

All disclosure questionnaires currently assigned to your account will display in their respective categories found on the left, side menu.

To view or manage disclosure questionnaires:

- Select a disclosure category in the left, side menu
- Click the **Additional Actions**  icon and select **TOC**
 - Click the **Additional Actions**  in the top, right:
 - Select **Duplicate** to make a copy of the current disclosure questionnaire
 - Click the **Management**  icon to the right of any question to view detail
 - Click the  icon to make edits to a particular question
 - Click the arrow  or  icons to move a question up or down in the list
- If a disclosure contains a Standard Form, click the **Preview** button to view

To access Disclosure Builder:

- If you're utilizing **Disclosure Builder**, [click here for further Instructions](#).






Policy Functionality




In the **Policy Functionality** tab you will be able to create, upload and manage your programs policies.


See below for detailed instructions on managing these materials.

To create or upload a new policy:

- Click the **Add**  icon in the top, right corner to create a new policy type group
- Create a name for the Policy Type and click **Add**
- Click the **Add**  icon to add a new policy attestation
- Insert policy name and click **Next**
- Create a Policy Association – there must be at least one.
 - Can be firm wide and available to all users, or narrowed down to a branch, department or combination of branches and departments.
 - **Add** when finished
 - Click the **Add**  icon to add additional associations
 - Click **Next Step** when all policy associations have been created
- **Upload a Policy** (must be .pdf)
 - One document per policy
 - *Approve* the policy if you want it to be active right away
 - Give the policy a *version* (optional)
 - Input a *contact email* to send out email notification when policy is attested to (optional)
 - Check off the *Email Supervisor* box if you would like an email to be sent to the supervisor once the policy has been attested to
- **Complete** when finished
- Assign policy to users by clicking the check box to the left of a user and then **Assign Users**
 - Assign to all users by clicking the first check box
 - The same can be followed to **Remove Selected**

To manage a policy:

- Click the **Management**  icon to the right of intended policy type
- Click the **Management**  icon to the right of intended policy
 - *Approved* policies will populate automatically, clicking the *Un-Approved* tab will display any inactive policies
- Click the  icon in the top, right to update policy information
- A list of all assigned users will display at the bottom

- Click the **Certificate** button to view a user's certificate
- Click the **Management**  icon to view a user's policy detail
 - View date assigned, viewed, and attested
- Check off the box to the left of any name and click **Remove Selected** to remove a policy from a user's account (only if it has not already been attested to)
- Click the *Un-assigned Users* tab to view a list of any users who do not have the policy assigned
 - Check off the box to the left of any user(s) and click to **Assign Users** assign the policy to a user's account




Support Functionality

In the **Support Functionality** tab you will be able to create administrative and user-specific support tickets viewed and maintained by a Quest CE representative. You will also be able to view and manage open tickets and closed tickets. You will also have access to frequently asked questions and in the **Knowledge Base**.


See below for detailed instructions on managing these materials.

Manage support tickets submitted to the Quest CE Support Team by users in your Firm



To create a support ticket as a client administrator:

- Click the **Add**  icon in the top, right corner
- Select **Client Administrator**
- Input subject of ticket and issue description
- Select a ticket category in the dropdown menu
- **Attach Files** (optional)
- **Submit** when finished
 - You will receive an email when our Support Team responds to the email


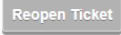
To create a support ticket on behalf of a user:

- Click the **Add**  icon in the top, right corner
- Select **Behalf of User**
- Input user's name
- Enter ticket subject and issue description
- Select a ticket category in the dropdown menu
- **Attach Files** (optional)
- **Submit** when finished
 - You will receive an email when our Support Team responds to the email

To view or manage open tickets:

- Click on **Open Tickets**
- Click the  icon (new ticket) or  (reopened ticket) icon to view specific ticket detail
 - Will display Due Date, Category, Last Updated, Issue Description, Activity, etc.
- (Optional) Input a response by adding text in the designated text box and click **Save**
 - You can attached any supporting files by clicking **Attach Files**
 - If the ticket is finished, close the ticket by checking off the *Close Ticket* box

To view or manage closed tickets:

- Click on **Closed Tickets**
- Click the  icon to view specific ticket detail
 - Will display Due Date, Category, Last Updated, Issue Description, Activity, etc.
- Reopen a ticket by clicking the  button







Discussion Board Functionality

In the **Discussion Board Functionality** tab you will be able to actively manage your programs annual compliance meeting discussion boards by adding, updating, approving or un-approving individual responses.

See below for detailed instructions on managing these materials.

To manage the discussion board:

- Click the **Management**  icon to the right of a specific ACM
 - A list of all questions/comments/responses will display
- Click the **Additional Actions**  icon to:
 - **Add a Response** to a discussion item
 - **Update** a user's discussion item
 - **Approve** – a discussion item needs to be approved by the admin before it will display to all other firm users assigned the ACM
 - **Un-approve** – a discussion item will no longer be viewable to all firm users assigned the ACM
 - **Delete response**
- Click the **CVS**  icon to export to an excel spreadsheet
- Click the **PDF**  icon to export to a PDF document



Processing Queue Functionality

In the **Processing Queue Functionality** tab you will be able to set-up Unlimited Hierarchy, create approval groups, establish Business Rules and activity manage submitted disclosures. When managing disclosures, you will be able to view supervisor's specific or firm-wide materials, and view, modify or terminate individual disclosures. You will also be able to view, and download time-stamped reports of all system and disclosure audit logs and view any item-by-item responses and download corresponding files.

See below for detailed instructions on managing these materials.

The Queue is designed to assist your firm in managing any disclosure items that need to be reviewed for approval as well as logged for audit purposes. All firms will have a default administrator group automatically created. A default business rule will also be created, intended as a catch-all for items not caught by other rules.

Note: Any Business Rules, Branch Structure, Department Structure, and/or Supervisor-User structure to be managed and maintained by Client.


To set up Unlimited Hierarchy:


The following steps need to be performed first and **in order** to properly setup unlimited hierarchy.

1. Setup firm branches: See **Account > Branch**
 - Assign users to branches
 - Assign Supervisors
 - Be sure to assign users under their supervisor
 - See **Account > Supervisor**
2. Setup branch departments (optional)
 - Tie department to branch
 - Assign users and supervisors
3. Create Approvers
 - Approvers are admins with access only to approve items
 - See **Account > Administrator**







To create an Approval Group: See **Queue > Groups**

An approval group can consist of one of the three types of users, based off of access to the system: *Administrators Only*, *Administrators and Approvers*, and *Department Supervisors*.

- Click the **Add**  icon to create a new group
- Input Group *Name*
- Select a Group *Type*
- Select users to assign to the approval group by clicking the check box to the right


- **Add** when finished
- Click the **CSV**  icon to export Approval Groups to excel








To create a Business Rule: See [Queue > Business Rule](#)




- Click the **Add**  icon to create a new business rule
- Input rule name
- Select which branch, department, and service the rule is being setup for
- Select a group for the initial setup of the rule
 - Selecting *Auto Approve* means the details of the disclosure will be emailed and available to the approver/approver group through the Queue; however, the disclosure will receive automatic approval at that step of the rule and will proceed with no action or manual approval required by the approver or admin.
- Click **Add** when finished
- Click the **Add**  icon to add another approval step in the hierarchy process.
 - Repeat process until all intended approval groups are added to the business rule
- Click the arrow  or  icons to the left of a group to rearrange the order of approval groups
 - The approval group located in the number 1 spot will need to manually approve a disclosure before it moves on to the approval group located in the number 2 spot and so on
 - Setting an approval group to “auto approve” will automatically send the disclosure to the next approval group in line (or finish the approval process if the auto approve is on the last group) without manual approval by that group
- Click the  icon to the right of a group to remove an approval group from the rule
- Click the  icon in the top, right corner to make a rule inactive

Note: Once built, Quest CE recommends Client test any business rules through a series of Test-User examples to ensure users’ submitted disclosure items properly route through the desired approval steps according to the business rule(s).





To manage submitted disclosures:

- **All Types** of disclosures will display by default
 - Click on **All Types** in the top, left corner to select a specific disclosure type in the dropdown menu
- **My Queue**  will also display by default. This shows disclosures needing approval by you currently
 - Use the dropdown menu to select:

- **My Hierarchy**  which will show disclosures waiting for approval by a different group/person
 - **All**  which will show all disclosures needing action
- Click on one of the tabs at the top of the Queue Dashboard to view disclosures that are:
 - **New** – new disclosures submitted by users (*or on behalf of users*) will fall in this bucket
 - **Unassigned** – any disclosures submitted that are unassigned to a business rule will fall in this bucket (*Fail-Safe*)
 - **In process** – disclosures currently in the hierarchy approval process will fall in this bucket
 - **Request More Info**
 - **Modified**
 - **Approved**
 - Click the **Recertify**  button to the right of a disclosure to have a user attest that the disclosure is still active
 - Click the **Request Recertify All**  icon to have all users with an applicable disclosure attest that the disclosure(s) is still active
 - Click the **Cancel**  button to remove a recertification request from a user's account
 - **Rejected** – disclosures that have been rejected by an admin or approver. A rejected status is final. No ability for user to edit or add further details to the disclosure. User may submit a new disclosure record, if needed.
 - **Ended** – once active disclosures that are now over will fall in this bucket. An Ended status is final, meaning these disclosures cannot be revived or edited further.
 - **Nothing to Disclose** – anyone who does not currently have a disclosure to track will fall in this bucket
- Click the  icon to the left of a specific disclosure to view details
 - Will display date added, started, completed etc.
 - Click tabs in middle of the page to view:
 - **Hierarchy** – view path of approval
 - **Standard Form** – view responses to standard form (*if applicable*)
 - **Questionnaire Responses**
 - Click the  icon to the right to add/view comments to a specific questionnaire response
 - Check off the following when adding a comment:
 - Disposition – to disable further comments
 - Send Email – will send an email to the user regarding comment made
 - Display on User Side – comment will be visible to user
 - **Queue Log** – Displays any approval related activity events

- **System Log** – Shows a basic view of all activity related to the disclosure from users and approvers
- **File Cabinet** – View any files uploaded. Only applicable if specific disclosure questionnaire contains a *file upload* question after the standard form.
- Click the **Add Comment** button in the top, right to add a comment
- Click the **CVS**  icon to export to an excel spreadsheet
- Click the **PDF**  icon to export to a PDF document
- Click the **Additional Actions**  icon in the top, right to:
 - **Back to Queue** – return to main Queue page
 - **User Detail** – jumps you to the specific user's detail page
 - **Approve Override (Administrators Only)** – bypass all future approval steps and mark the item fully approved.
 - **Approve ***
 - **Request More Info**
 - **Reject** – A rejected status is final. User may not edit or add further details to the disclosure. User may submit a new disclosure record, if needed.
 - **File Upload:** ability for admin to upload supporting file(s) to attach to the user's disclosure record. Acceptable file types: .doc, .docx, .pdf, .txt, .xls, .xlsx

*** OBAs ONLY:** *The final approver of an individual OBA will be given the option to answer a three-question **OBA Review Questionnaire**, affirming that the disclosure was appropriately examined, before being approved.*

- Click the  button to remove the business rule assigned to the disclosure
- Click the  button to change the rule and/or approver assigned to the disclosure
 - Click the **Add**  icon to assign a new rule and/or approver
- Click the **Filter**  icon to filter by rule, user submitted, and/or Day, Range, Year




Voucher Card Functionality

In the **Voucher Card Functionality** tab you will be able to manage and report on your programs continuing education voucher cards.


See below for detailed instructions on managing these materials.

Lists all voucher codes associated with your account

To manage voucher codes:

- Search for a code in the list, or use the search bar in the top, right corner
- Click the **Management**  icon
 - If the code has been used:
 - Date redeemed, User, and Training fields will display respective information

To access voucher code reporting:

- Click the **Additional Actions**  icon
 - Select **Redemption Report** for a report of all redeemed codes
 - Select **Voucher codes** for a report of total codes associated with your account








Reporting Functionality

In the **Reporting Functionality** tab you will be able to filter, organize, download and email any number of program-specific reports such as activity reports, administrative reports.

See below for detailed instructions on managing these materials.

To filter, run and download reports:

- Select a reporting type: **Activity**, **Administrative**, or **Statistics**
- Click on desired report in the left, pop-out side menu
- Click the filter  icon to filter items such as:
 - By Training Status
 - By Catalog
 - By Training Type
 - Include Term'd Users
 - Day/Range/Year
 - Status
 - Catalog
 - Type
- Click the filter  icon to also select:
 - **Additional Fields**: allows an admin to add additional fields to the report results on-demand.
 - **Sort**: allows an admin to sort the results of the report by different unique fields. Only one sort method can be chosen at a time.
 - None
 - Individual
 - Training
 - Catalog
 - Status
- Click the **CSV**  icon to export results to an excel spreadsheet
- Click the **PDF**  icon to export results to a PDF document
- Click the **Email**  icon to send a direct email to all users indicated on a report
 - **Note- Users may receive multiple emails if they have multiple items in a report*

Reports available:

In Reporting > Activity

- Training
- Chapter Quiz
- Questionnaire
- Questionnaire System Logs
- Questionnaire Flagged Response
- Disclosure
- Disclosure System Logs
- No Disclosures
- Disclosure Flagged Response
- Voucher Card
- Policy Attestation
- Gifts, Entertainment and PC Tracking
 - Firm Received Totals
 - Firm Received Details
 - Firm Given Totals
 - Firm Given Details

In Reporting > Administrative

- Administrator
- Supervisor
- User
- Questionnaire Profile
- Disclosure Profile
- Voucher Code
- Branch
- Bulk Load
- Policy
- Business Rules
- Approval Groups
- Approvers
- Users w/o Supervisors
- Department Users
- Department Supervisors
- Branch Department
- Registered Rep Reports

- Residential History
- Employment History
- SRO Registrations
- Jurisdiction Registrations
- Professional Designations
- Other Names
- Producer Reports
 - Carrier Appointments
 - Product Certifications
 - State/Designation Licenses
 - CE Requirements
 - Courses Taken

In Reporting > Statistics

- Training Stats
 - # Training Assigned (By Type)
 - Training Status Percentage
 - Average Exam Score (By Title)
 - Average Content Completion Time
- Questionnaire Stats
 - # Questionnaire Assigned
 - Questionnaire Status Percentage (By Type)
 - Questionnaire Status Percentage (By Title)
 - Question/Answer Percentage





Utilities Functionality

In the **Utilities Functionality** tab houses program utilities that will aid in the management, creation and launch of your program. Here you will find user certificates, bulkloading tools, email blast tools, lesson plans, onboarding plans, access to Compliance Companion and the ability to edit your programs alert message.

See below for detailed instructions on managing these materials.

In Utilities > Certificates

Manage Certificates:

- Search by user or training course
- Click the  button to the right of the desired user, or course
- Click the  button
- Click **PDF** to print

In Utilities > Data Import

(ATTENTION!) Before you Begin: We strongly advise you contact your Account Executive prior to using this tool in order to avoid potential errors for which you are responsible. Charges may apply if administrative time is required to resolve errant loads.

Upload user data:

There are seven selections for data import types: User Profile, User Services, User Disclosures, User Rep Summary, User Producer Summary, Firm Structure and Combo Import.

When you have selected your import type:

- Download a prebuilt template by clicking **Download Template** OR use any excel, CSV, or tab delimited text file.
- Once your file is prepared, click **Upload Data** to continue.
- Click **Browse** to locate your import file and click **Open**. Once loaded, click **Continue** to advance.

NOTE: The checkbox under **Browse** tells the application if your file has a column header or not. If the first row of your file contains header information, leave this box checked. *This is the default.* If your file has no header and only data, uncheck this box or the first row will be ignored.

Map columns:


You must then map the columns of your data. This step is integral to the import process. Here, you will have access to the columns found on your import file and be given the ability to map them to the required/optional fields

in Renaissance. When using a template, the application will automatically match up your import columns to the Renaissance fields. You can still map the fields differently, if needed.

NOTE: Unmapped fields will appear in the Available Fields area as uncolored with a dotted border. Mapped fields will appear as a solid color. All required fields must be mapped to continue.

Validate data:

Following the upload, the application will determine if all of your data is valid for the mapped data types. If it is not, you will be asked to correct all invalid fields. To change the data, click directly into the field.

- You can additionally click the  to remove the data row altogether.
- Once all data rows are valid, you will see a summary of the numbers of records to be processed/added/updated.
- Click **Continue** to process your import.

If the import was successful you'll see a Review Page with details of the import.

NOTE: If you have uploaded incorrect data, you can click the **Undo Data Import** button to revert your changes.


In Utilities > Email Blast

(WARNING!) Before you Begin:


1. Contact your firm's IT Department
2. Ask them to Whitelist the Quest CE domain, questce.com
 - This will ensure emails pass through your firm's firewall and minimize the possibility of blocked or undeliverable email messages to your enrolled users

Schedule an email:


- Click on the **Schedule Future/Recurring Email** Tab
- Input *Email Name*
- Select a group in the dropdown menu
 - Default Groups and any Custom Groups will be listed
 - Click **Create New Group** to make a custom email group
- Select a template (*optional*)
 - Click **Create New Template** to make a custom template
- Input a *Start Date* and *Start Time*
- Pick a Schedule Type
 - *Schedule once*: email will go out one time
 - *Schedule recurring*: email can be setup to go out as a recurrence
 - Select how often you would like the emails to go out


- Select a date for recurrence to end
- Input *Sender Name* (*Sender Email* will default to Quest CE's Support Email address and cannot be changed)
 - Reply-to Name and Email are optional
- If no template has been selected, input email subject
- If no template has been selected, create email message
 - Click the  icon to select a pre-made content template
 - Edit the pre-made content template as desired, or leave as is
- Click **Preview** to preview email message
- Click **Schedule Future/Recurring Email** when finished

Send an email:




- Click on the **Quick Email** Tab
- Input *Email Name*
- Indicate the target receiver:
 - One person:
 - Input receiver name and make sure the correct receiver is populated in "Select a Receiver" dropdown box
 - A group:
 - Default Groups and any Custom Groups will be listed
 - Click **Create New Group** to make a custom email group
- Select a template (*optional*)
 - Click **Create New Template** to make a custom template
- Input *Sender Name* (sender email will default to Quest CE's Support Email address and cannot be changed)
 - Reply-to Name and Email are optional
- If no template has been selected, input email subject
- If no template has been selected, create email message
 - Click the  icon to select a pre-made content template
 - Edit the pre-made content template as desired, or leave as is
- Click **Preview** to preview email message
- Click **Send Email** when finished

Create a custom email group (*optional*):




- Click on the **My Groups** tab
- Click the **Add New Group**  icon in the top, right corner
- Input a *Group Name*
- Click the *Un-Assigned Users* to view a list of un-assigned users

- Check the box to the left of anyone you wish to be added to the group
 - Click the filter  icon to:
 - Sort by training status
 - Sort by questionnaire status
 - Search for a user
- Click **Add** when all intended users have been selected

Create a custom email template (*optional*):

- Click on the **My Templates** tab
- Click the **Add New Template**  icon in the top, right corner
- Input a *Template Name* and *Email Subject*
- Create email message
 - Click the  icon to select a pre-made content template
 - Edit the pre-made content template as desired, or leave as is
- Input a specific *mail merge field* by selecting one from the drop down box
 - This will populate account data for each individual message
- Click the  icon to preview your email message
- **Add** when finished

Access reports:



- Click on the **Reports** tab
- Select **Sent Email Report**, **Scheduled Email Report**, or **Failed Email Report**
- A List of all sent (or failed) emails will display by Email Name
- Click the **Management**  icon to the right of a specific email to view email recipients
 - Click the **CVS**  icon to export results to an excel spreadsheet
 - Click the **Additional Actions**  icon to:
 - Go back to the specific email reporting page
 - Go back to all email reports page

In Utilities > Lesson Plan



Lesson Plans give you the ability to assign different types of training (FE/AML, ACM, ACQ, Policies, etc.) all at once to certain groups of users based on branch and department

Create a new Lesson Plan:

- Click the **Add**  icon in the top, right corner

- Input Lesson Plan name
- Select branch in dropdown box
 - (*Optional*) To assign to a specific department of the branch, select a department in dropdown box
- **Add** when finished
- Assign training, questionnaires, and/or policies by clicking the **Add**  icon in their respective rows
- Delete a training item by clicking the Remove  icon
- When all training is assigned to the lesson plan, click the **Assign Plan to Available Users** button
 - Lesson plan will automatically assign to all users associated with the branch and/or department selected

Manage a Lesson Plan:

- Click the **Management**  icon to the right of a lesson plan
- Click the **Additional Actions**  icon to:
 - View **Account Detail**
 - View **Assigned Users**
 - View **Unassigned users**
 - To assign training to an unassigned user, go to the specific lesson plan's management page and scroll to the bottom and click **Assign Plan to Available Users**



In Utilities > Self-Pay

Our Self-Pay Program gives our clients the ability to carry over the cost of services to their individual representatives. This enables firms to create varying lesson plans, per department or job function, at different price points.

For more information, [click here](#).



In Utilities > Onboarding

Create a new Onboarding Plan:

- Click the **Add**  icon in the top, right corner
- Input *Plan Name*
- Select Onboarding *Questionnaire* from the dropdown menu
- Select desired *Branch* and *Department*
- Click **Add** when finished
 - *Make note of the **Plan Code** created at this point as it will need to be provided to your users in order to access the Onboarding Plan*
- Click the **Add**  icon to add:

- Training,
- Questionnaire(s),
- And/or Policies
- Click **Assign plan to users** to automatically assign the plan to all users for that branch and department
 - Users will need to be directed to the general Onboarding website: learn.questce.com/onboarding where they can either sign in or register
 - Users will need the **Plan Code** (see above) in order to access their Onboarding Plan

Manage an Onboarding Plan:

- Click the **Management**  icon to the right of any Onboarding Plan
- Click the **Additional Actions**  icon to:
 - **Update** (updates can only be made if a Onboarding Plan is not currently assigned to anyone)
 - View **Assigned Users**
 - View **Unassigned Users**

In Utilities > Compliance Companion

The Compliance Companion is a resource directory of insurance continuing education information.

Almanacs

Lists CE training requirements for each state. There is a drop down menu to switch between Compliance CE and Long Term Care (LTC) training.

- **Utilities > Compliance Companion > Almanacs**
- *Select Requirement Type* from the dropdown box
 - States will be listed alphabetically and will detail Continuing Education/Long Term Care requirements

State Journal

State specific information for both resident and non-resident licenses including detailed information for the Compliance Requirements, as well as, several other areas of interest, such as Temporary License information, information on how to reinstate a license, information on how to terminate a license, etc.

- **Utilities > Compliance Companion > State Journal**
- *Select a State* from the dropdown box
- *Select Residency, then select Information Type*
- Click **Show Info** to view indicated licensing information (i.e., Definition, Lines of insurance, Required Fee(s), etc.)

State News and Updates

Track recent changes in rules/laws for each state.

- **Utilities > Compliance Companion > State News and Updates**
- *Select a State*
- *Select a Category* from the dropdown box
- **Show Info** to display a listing of information matching indicated criteria
 - This information can be exported to excel or .csv format by clicking the desired icon in the top, right corner of the table

Form Directory

Retrieve a state's licensing forms, including License Cancelation forms, License Application forms, etc.

- **Utilities > Compliance Companion > Form Directory**
- *Select a State* from the dropdown box
- *Select a Category*
- **Show Info** to view detailed information on each state service
 - Click **Show** under *Display Document* to view corresponding form

Link Archive

Open a selected state's department of insurance website.

- **Utilities > Compliance Companion > Link Archive**
- *Select a State* from the dropdown box
- **Open State's Webpage** to be directed to intended state's Department of Insurance website

Agency Licensing Info

Detailed information for the agency/firm's license.

- **Utilities > Compliance Companion > Agency Licensing Info**
- *Select a State* from the dropdown box
- *Select Residency, then Information Type*
- **Show Info** to indicated information regarding Firm licensing

Send Packet

Send a packet of information for a particular individual's license.

- **Utilities > Compliance Companion > Send Packet**
- *Select a State* from the dropdown box
- *Select Residency*
- Create email to be sent with packet attachment

- Edit subject line
- Supply email address of intended recipient
- Input greeting and **Save Greeting** (optional)
- Input signature and **Save Signature** (optional)
- **Preview** to view email before sending
- **Send** to send state specific packet of information to the specified individual

In Utilities > User Alert Message

Bulk assign User Alert Message:

- Input desired text in designated text box
- Click **Update** when finished
 - Will appear across all user accounts, overwriting any and all prior alert messages



Branch Audit Management

Quest CE's Branch Audit Management Tool enables auditors to seamlessly schedule audits, assign pre-audit/branch audit questionnaires, and track results from a secure, highly-adaptable platform. Featuring instant risk-meter alerts and auto-generated deficiency letters, auditors can easily define, track, and report on core activities vital to the success of the firm.

See below for detailed instructions on managing these materials.

To access the Branch Audit Tool:

- If you've purchased **Branch Audit**, [click here for further Instructions](#).
- Click on the **Branch Audit** button from the administrative panel or
- Login at login at learn.questce.com/branchaudit



Additional Help

At anytime throughout your program you can contact your Account Executive or utilize our support center. For more information about Quest CE or our products visit www.questce.com.

Support:

- Call (877) 593-3366
- Available Monday through Friday 8am – 5pm (CST)
- Email support@questce.com