

# **Connect Beta & Track My Application – An Overview**

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## New Landing Page

**Connect Beta** will present a **new landing page** which you'll see when you log in. You'll be able to use the new **Navigation Menu** and have a general overview of your firm(s) applications.

## Navigation Menu

From the Connect Beta **Navigation Menu** you'll be able to click into the following options:

- **Home**  
This would take you back to your firm(s) landing page; you can also do this by clicking on the FCA logo
- **Start an Application**  
This would take you to the Original View of Connect where you can start a new application or notification
- **Latest Updates**  
This will give you the full list of the latest regulatory and Connect system updates
- **Manage Users**  
This will give the Principal User (PU) the ability to manage other Connect Users including adding new users and editing access rights
- **Financial Services Register**  
This will take you to the Financial Services Register (in a separate tab)

- **FCA Handbook**

This will take you to the FCA Handbook (in a separate tab)

- **Your Connect User Profile**

Here, you'll be able to access your own Connect User Profile to update application contact details, as well as changing your password

## Track My Application

This is a new function available to **track the progress** of your Connect application as it's being processed.

There are two views to the tracking:

### Basic View

The Basic View will allow you to see:

- *Type* of application
- *When* the application was submitted
- *Who* it was submitted by
- The *status* of the application

### Full View

The Full View will allow you to see:

- *Type* of application
- *When* the application was submitted
- *Who* it was submitted by
- *Status* of the application

- *Average time to close the application*
- *Statutory deadline of the application*
- *Case Officer's name (when one has been assigned)*
- *Tracking Bar* which shows the different stages the application is going through
- *Receive system alerts and email notifications about your application.*

## **Tracking Statuses and What They Mean**

### **Draft**

Your Connect application is still open and in draft status. You can edit the application as it has not yet been submitted to the FCA

### **Submitted**

Your application has been successfully submitted and received by us

### **Initial Review**

Your application is undergoing preliminary checks before being assigned to a case officer who will process your application

### **In Progress**

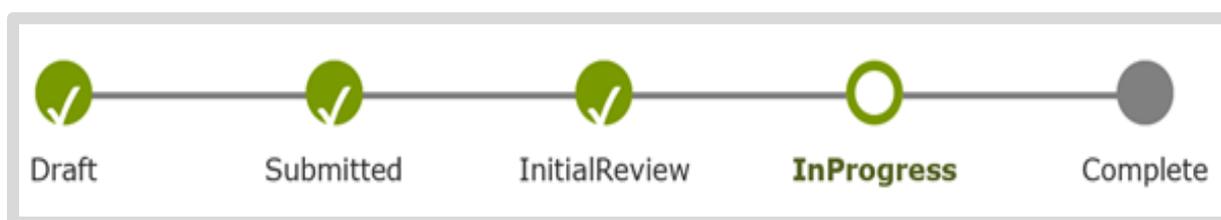
Your application is currently being processed by a team – when a named Case Officer is assigned you'll be notified

## Awaiting your response

Further information from yourself is needed to complete the processing of your application – this can be at the *Initial Review* stage or at the *In Progress* stage

## Complete

A decision has been made about your application and the outcome will be communicated to you by your Case Officer



## Average time to close

Where available, the average time to close is an indication of how long this type of application is currently taking to determine. Some applications may take less time or longer, based on the completeness of the application or its complexity. However, applicants should be aware that statutory deadlines apply.

## Alerts and Email Notifications

These are another feature of applications in the full tracking view.

The Alerts have been added to **remind you of actions** you may need to take or the progress of an application you have submitted. You can access these Alerts by

**selecting the Alert icon in the top right corner of the screen**, which will activate a drop-down list.

The Alerts that you have read will show as white and any new alerts will be shown as blue. When you select an Alert, the system will navigate you to the relevant section within Connect or the Financial Services Register.

As a Connect user you may be subject to one of the following Alerts:

- Another year of authorisation! Please ensure all details are up to date on the Financial services register if you haven't already
- Firm users – if you haven't already, please ensure your Connect users and details are up to date
- You have submitted application [reference number], you can now view its progress on Track My Application
- Application update - A Case Officer has now been assigned for application [reference number]
- Application Update: Application [reference number] requires more information, please check your inbox for more information

As well as being alerted in the Connect system, we will also send you an email notification to let you know when your application has been received, when your Case Officer has been assigned, or reassigned, and when your application has been determined.

We'll also send you reminder emails to check your Firm's details, displayed on the Financial Services Register, and that your Firm's Connect users are up to date.

## **Feedback**

As the new Connect system is currently in Beta version and is subject to later change, we encourage you to **submit any views and opinions** about the Beta system. Every response will be collated and read, however these won't be responded to directly.

The system is subject to further change with more updates being implemented as part of future releases.