



# Meeting Senior Manager, Certification & Approved Person Requirements The Role of HR

9.30am to 4.30pm | 5 December 2018 | City of London

*A focused one day course specifically designed for HR specialists in financial services organisations.*

## *Attending will help you:*

- Keep up to date with the **latest regulatory developments and priorities** and the implications for HR
- Implement appropriate arrangements to **meet the requirements of the Senior Managers Regime, Certification and the learning and development associated with the Conduct Rules**
- Examine the **impact of the SM&CR requirements on key areas of the regime** such as Fitness & Propriety, Ongoing Competence, Performance Management and Discipline
- Understand **what the regulators expect of Senior Management Function holders** and the HR processes and interventions needed to support them
- Establish key **HR risks, controls and indicators** in respect of regulatory requirements
- Understand **how the SM&CR fits into the bigger picture** of effective governance, individual accountability and the development of the corporate culture

**CPD**  
6 hours

# CTP.

For more information  
please visit:

[www.ctp.uk.com/hr](http://www.ctp.uk.com/hr)

Email:

[emmabond@ctp.uk.com](mailto:emmabond@ctp.uk.com)

Tel: 0330 303 9779

## Course Outline & Objectives

It is no longer possible for HR professionals in financial services organisations to leave all regulatory matters and responsibilities in the hands of the Compliance department. Under the FCA and PRA, regulation has extended into core areas of the traditional HR remit, such as the vetting of applications and applicants for significant roles and the setting and monitoring of core competencies. The advent of the Senior Managers and Certification Regime (SM&CR) calls for the full engagement of HR as well as providing a helpful platform from which to promote the value of the HR function to the business.

This focused workshop is specifically designed to help HR specialists contribute effectively to the implementation and ongoing operation of the SM&CR in their firms. The programme addresses the regulatory requirements that need to be met and provides an opportunity to update and refresh understanding of the regulators' expectations. It also provides guidance on the practical steps HR can take to make SM&CR a success within their organisations.

This course is designed for delegates from both PRA regulated firms, who are already subject to the SMR and Certification or SIMR requirements, and firms regulated solely by the FCA, who will face similar obligations shortly.

*"Extremely engaging - made the content interesting and easy to digest as a subject matter which is complex and fairly dry."*

**Baring Asset Management**

## Who should attend?

Anyone responsible for key HR activities within a financial services organisation, including: **Talent Management, Employee Benefits, Recruitment, Training, L&D, Organisational development, Administration and Record Keeping.** The course is also valuable for individuals in **Risk, Compliance and Audit** with responsibilities for monitoring HR activities.

## Training Approach

This course will combine lecture style presentations with practical examples and exercises. Delegate numbers will be limited to ensure a high quality learning environment.

## Course Leader

### Charles Cattell

Charles is a consultant and training practitioner with extensive expertise across the financial services sector. He advises, trains and develops a broad range of financial services clients and their senior managers about the human aspects of regulation with a particular focus on managing people risk, the development of competence and expertise and the enhancement of corporate culture. His clients include banks, product providers, intermediary firms, and insurers with whom he works at a senior level on learning, leadership, regulatory and corporate governance issues. Charles also works extensively with trade associations, examining bodies and regulators, whom he has advised on competence and professionalism issues. He is a Chartered Fellow of the Chartered Institute of Personnel and Development, a Chartered Member of the Chartered Institute for Securities & Investment and a Chartered Insurance Practitioner and an Associate of the Chartered Insurance Institute.

## How to book

The course fee is **£645 per person + VAT.**

A 10% discount is available for a booking of three or more delegates.

There are various ways to register:

Website: **[www.ctp.uk.com/hr](http://www.ctp.uk.com/hr)**

Email: **[emmabond@ctp.uk.com](mailto:emmabond@ctp.uk.com)**

Telephone: **0330 303 9779**

Post: **Complete and return booking form over page.**

*When booking please quote reference*

**HRRWEB**

**THIS PROGRAMME CAN ALSO BE ADAPTED AND DELIVERED IN-HOUSE.**

For more information please visit: **[www.ctp.uk.com/hr](http://www.ctp.uk.com/hr)** Email: **[emmabond@ctp.uk.com](mailto:emmabond@ctp.uk.com)** Tel: **0330 303 9779**

# Course Agenda

Session	Content
<b>Welcome, introductions and objectives</b>	
<b>The regulators and rules governing people</b>	<ul style="list-style-type: none"> <li>■ The suitability of resources</li> <li>■ How the rules apply to different roles</li> <li>■ Regulation versus employment law</li> <li>■ Regulatory grip over people</li> <li>■ Regulatory approaches to supervision and enforcement</li> </ul>
<b>The challenge of individual accountability</b>	<ul style="list-style-type: none"> <li>■ Strengths and limitations of the Approved Persons Regime</li> <li>■ APER, SIMR and SM&amp;CR in a period of transition</li> <li>■ Winners and losers under the new arrangements</li> </ul>
<b>Application of the Senior Managers and Certification Regime</b>	<ul style="list-style-type: none"> <li>■ The scope of the current regime</li> <li>■ Proposed extensions to the insurance regime</li> <li>■ Proposed scope of the FCA solo-regulated regime</li> <li>■ Implications of the firm's activities and scale of operation</li> </ul>
<b>Elements of the Senior Managers and Certification Regime</b>	<ul style="list-style-type: none"> <li>■ Features of the Senior Managers Regime</li> <li>■ Features of the Certification requirements</li> <li>■ Obligations under the Conduct Rules</li> </ul>
<b>Ownership of and responsibility for the regime</b>	<ul style="list-style-type: none"> <li>■ Roles and opportunities for HR</li> <li>■ The nature of senior management engagement</li> <li>■ The role of the control functions (Risk, Compliance and Internal Audit)</li> <li>■ The role of the Company Secretary</li> </ul>
<b>What we (should) have in place already</b>	<ul style="list-style-type: none"> <li>■ Managing the recruitment process</li> <li>■ Learning and development, training and competence</li> <li>■ Performance management and appraisal</li> <li>■ Provision for Continuing Professional Development</li> <li>■ Engagement with the Remuneration Code</li> <li>■ Whistleblowing</li> </ul>
<b>Practical aspects of implementing the regime by HR</b>	<ul style="list-style-type: none"> <li>■ Managing the regulatory reference requirements</li> <li>■ Determining fitness and propriety</li> <li>■ Obtaining regulatory approval</li> <li>■ Assessing and confirming competence</li> <li>■ Administering the Certification Regime</li> <li>■ Certification and Statements of Professional Standing</li> <li>■ Providing training on the Conduct Rules</li> <li>■ Dealing with disciplinary issues</li> </ul>
<b>More challenging situations</b>	<ul style="list-style-type: none"> <li>■ Amending contracts and policies</li> <li>■ Dealing with disciplinary issues</li> <li>■ What happens when an individual's fitness and propriety is in doubt</li> <li>■ Exits and settlement agreements</li> </ul>
<b>Transitional considerations</b>	<ul style="list-style-type: none"> <li>■ Determining the firm's approach</li> <li>■ Identifying the scope of certification</li> <li>■ Preparation of senior managers</li> <li>■ Preparatory activities and when to start them</li> </ul>
<b>Reporting and record keeping</b>	<ul style="list-style-type: none"> <li>■ Providing relevant information to prescribed responsibility holders</li> <li>■ Records of responsibilities, reviews and decisions</li> <li>■ Establishing and recording precedents</li> <li>■ Providing reports to the regulator</li> <li>■ Making notifications to the regulator</li> </ul>
<b>SM&amp;CR and the broader HR agenda</b>	<ul style="list-style-type: none"> <li>■ Using the SM&amp;CR to position HR as a risk management function</li> <li>■ Using SM&amp;CR to mitigate people risks</li> <li>■ The impact of SM&amp;CR on governance and corporate culture</li> </ul>
<b>Action planning and close</b>	

# COURSE BOOKING FORM

Please post, fax or email completed form to addresses listed below.

**CTP.**

Thank you for registering to a CTP event. Once the completed booking form is received, your place/s will be reserved and you will receive confirmation by email. Joining instructions will be sent 2 weeks before the event date. Please note all **delegate fees are payable prior to the course**.

*There is a 10% discount when registering 3 or more attendees. Please complete another form for additional delegates.*

<b>Course Title</b>	<b>SM&amp;CR - THE ROLE OF HR</b>
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<b>Date</b>	<b>5 December 2018</b>	<b>Event code</b>	<b>HRRWEB</b>
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<b>Delegate 1</b>	Mr / Mrs / Miss / Ms / Other	Name	
	Tel	Role	
	Email		

<b>Delegate 2</b>	Mr / Mrs / Miss / Ms / Other	Name	
	Tel	Role	
	Email		

<b>Delegate 3</b>	Mr / Mrs / Miss / Ms / Other	Name	
	Tel	Role	
	Email		

<b>Company Name</b>			
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<b>Address</b>		<b>Invoice Address (if different)</b>	
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<b>Post Code</b>		<b>Post Code</b>	
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<b>Booking Contact (if different)</b>			
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<b>Tel</b>		<b>NB:</b>	
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<b>Email</b>		<b>Purchase Order No / Vendor No</b>	
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<b>Payment details</b>	I authorise you to debit my account with the amount of £	inc VAT
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**Cancellations, Substitutions and Transfers.** The following cancellation charges apply: 30+ days before the course date = no charge; 15-29 days before the course date = 50% of the course fee; 0-14 days before the course date = 100% of the course fee. If the registered delegate cannot attend, we shall be pleased to welcome a substitute at no extra charge – please advise us beforehand. If a delegate fails to attend without prior notification, the course fee is payable in full. Please note CTP is unable to accept any liability for non-attendance caused by severe weather or travel disruption. Requests to transfer to the next available course date may be accepted, subject to availability. The option to transfer is only available if received prior to the original course date, once the original course fee has been paid in full and to a course taking place within 12 months. Transfers made 1-30 days prior to the course date, will be charged at 25% of the course fee. For substitutions, cancellations and transfer enquiries, please contact info@ctp.uk.com

CTP is a trading style of Corporate Training Partnerships Ltd, registered in England and Wales (no. 04440798)

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