



# *Implementing the FCA's New Individual Accountability Requirements under the SM&CR*

10am to 4pm | 1 October 2019 | City of London

A timely and practical course for **Compliance, Operations, Risk, Audit and HR** professionals in financial services organisations.

## *Attending will help you:*

- **Effectively prepare for the new regime**, by examining each of its elements and the interactions between them
- **Consider how to implement the requirements** in light of the thresholds and obligations relevant to your firm and business model
- **Understand the longer-term implications of the regime** and how to **embed the requirements into your firm's ongoing operating practices**
- **Ensure you are up to date with the latest developments** as the operational aspects of the extended regime are clarified
- **Benchmark your approach against market good practice**

**CPD**  
4.5 hours

# CTP.

For more information  
please visit:  
[www.ctp.uk.com/smcraac](http://www.ctp.uk.com/smcraac)

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

Tel:  
0330 303 9779

## Course Outline & Objectives

This focused workshop is specifically designed to help those responsible for implementing the Senior Managers and Certification Regime (SM&CR):

- prepare for the new regime
- get to grips with the requirements and
- identify how best to embed the obligations within business as usual.

This course is designed primarily for delegates from FCA solo-regulated firms but will also help those from dual-regulated insurance firms who are already subject to the SIMR requirements but who will have to upgrade to SM&CR.

*"Superb content. Excellent presenter and course"*

**Beaufort Securities**

## Who Will Benefit?

Anyone responsible for setting up and implementing the SM&CR within a financial services organisation, especially individuals in **Risk, Compliance and Operations**. The course may also be of interest to **Human Resources** staff and to those in **Internal Audit**.

*"Rich in the content, engaging style"*

**Premium Credit**

## Training Approach

This workshop uses a combination of trainer input, knowledge sharing with interactive syndicate work and case studies. Group size is kept to a maximum of 16.

## Workshop 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 regulatory, leadership and corporate governance issues. Charles also works extensively with trade associations, examining bodies and regulators, whom he has advised on a range of 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.

*"Well presented and very informative"*

**Connection Capital**

## How to book

The course fee is **£545 per person + VAT**, including lunch and refreshments. A **10% discount** is available when registering three or more delegates.

There are various ways to register:

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

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*

**SMRAWEB**

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

For more information please visit: **[www.ctp.uk.com/smcraacc](http://www.ctp.uk.com/smcraacc)**

Email: **[emmabond@ctp.uk.com](mailto:emmabond@ctp.uk.com)** Tel: **0330 303 9779**

# Implementing Individual Accountability

## Course Programme

Session	Content
Background to Accountability II	<ul style="list-style-type: none"> <li>■ Why SM&amp;CR has replaced the Approved Persons regime</li> <li>■ Regulatory aims and intentions</li> <li>■ Individual accountability in the context of culture and governance</li> <li>■ The banking sector experience</li> </ul>
Overview of the requirements	<ul style="list-style-type: none"> <li>■ Elements of the regime</li> <li>■ Scope of the regime</li> </ul>
One size does not fit all	<ul style="list-style-type: none"> <li>■ Implications of the firm's permissions and scale of operation</li> <li>■ Core, enhanced and limited scope category firms</li> <li>■ Insurance sector thresholds</li> <li>■ Plans so far, quick wins and initial successes</li> </ul>
The Senior Managers Regime	<ul style="list-style-type: none"> <li>■ Senior Management Functions</li> <li>■ The duty of responsibility</li> <li>■ Statements of Responsibilities</li> <li>■ Prescribed Responsibilities</li> <li>■ Additional requirements for enhanced category firms</li> <li>■ Anticipated challenges and how to overcome them</li> </ul>
Certification	<ul style="list-style-type: none"> <li>■ Who is in scope</li> <li>■ The practicalities of Certification</li> <li>■ Implications for performance management and appraisal</li> <li>■ Capitalising on existing good practice</li> </ul>
Fit and Proper	<ul style="list-style-type: none"> <li>■ Criteria</li> <li>■ Fit and Proper policies</li> <li>■ Approaches to effective review</li> <li>■ Dealing with failure</li> </ul>
Conduct Rules	<ul style="list-style-type: none"> <li>■ Who is in scope</li> <li>■ Individual implications of the conduct rules</li> <li>■ Additional rules for senior managers</li> <li>■ Implications for performance appraisal criteria</li> <li>■ Implications for disciplinary arrangements</li> </ul>
SM&CR – more than just a project	<ul style="list-style-type: none"> <li>■ Embedding individual accountability into business as usual</li> <li>■ Maintaining continuing senior management engagement and oversight</li> <li>■ Fitting SM&amp;CR into the three lines of defence</li> <li>■ Implications for existing procedures</li> <li>■ Keeping adequate records</li> <li>■ SM&amp;CR as a reflector of organisational culture</li> <li>■ Challenges on the road ahead</li> </ul>

# 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>INDIVIDUAL ACCOUNTABILITY UNDER THE SMCR</b>	
<b>Date</b>		<b>1 October 2019</b>	<b>Event code</b>
			<b>SMRAWEB</b>
<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>			
<b>Address</b>		<b>Invoice Address (if different)</b>	
<b>Post Code</b>		<b>Post Code</b>	
<b>Booking Contact (if different)</b>			
<b>Tel</b>			<b>NB:</b>
<b>Email</b>			<b>Purchase Order No / Vendor No</b>
<b>Payment details</b>		I authorise you to debit my account with the amount of £ inc VAT	
I wish to pay by		Please invoice <input type="checkbox"/>	
Card Number			
Expiry date		CVC code (printed on back of card)	

**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](mailto:info@ctp.uk)

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