

A Practical Introduction to Financial Services Regulation for HR Specialists

9.30am to 4.30pm | 8 October 2019 | City of London



A focused one day course for HR specialists new to the financial services environment or more experienced HR professionals seeking to refresh or develop their regulatory awareness.

In just one day, attending will help you:

- Understand the nature of financial services regulation and ensure you are up to date with regulatory developments, especially in relation to SM&CR
- Examine the regulatory impact on the full scope of HR activities, from recruitment through fitness and propriety, competence, performance, record-keeping and remuneration
- Identify specific obligations which fall to HR as a result of the regulatory requirements
- Highlight opportunities for using the regulatory framework as a vehicle for demonstrating the value of the HR function to the business
- Benchmark your approach and procedures against market good practice



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For more information

Email:

emmabond@ctp.uk.com

Visit:

www.ctp.uk.com/intro

Tel:

0330 303 9779

Course Outline & Objectives

This one-day workshop has been designed primarily for human resources specialists. It is intended to explain the implications of working in a regulated environment and, in particular, to address those aspects of the regulatory regime which have a direct impact on the HR function.

This course is equally appropriate for delegates from FCA solo-regulated firms and from firms which are dual-regulated by FCA and PRA.

"Superb content. Excellent presenter and course content"

Beaufort Securities

Who will benefit?

Although targeted primarily at HR professionals who are new to financial services and its regulation, this workshop is also appropriate for more experienced practitioners who are seeking a greater understanding of the regulatory requirements in preparation for the implementation of the Senior Managers and Certification Regime. The workshop would also benefit operational managers who are assuming HR responsibilities and who need to understand how these can be undertaken effectively whilst meeting regulatory obligations.

"Rich in the content, engaging style"

Premium Credit

Training Approach

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

"This was a really informative, interactive, safe environment to ask questions"

Arbuthnot Latham

Course Presenter

Charles Cattell 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.

"Well presented and very informative"

Connection Capital LLP

How to book

The course fee is **£675 per person + VAT**, including lunch and refreshments. A **10% discount** is available when registering 3 or more delegates.

There are various ways to register:

Website: **www.ctp.uk.com/intro**

Email: **emmabond@ctp.uk.com**

Telephone: **0330 303 9779**

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

When booking please quote reference

HRREG

THIS PROGRAMME CAN ALSO BE ADAPTED FOR DELIVERY IN-HOUSE.

For more information please visit: **www.ctp.uk.com/intro**

Email: **emmabond@ctp.uk.com** Tel: **0330 303 9779**

**Testimonials are from delegates to recent CTP events for HR professionals*

Course Programme

Session	Content
The UK financial services regulatory framework	<ul style="list-style-type: none"> Who are the regulators Regulatory objectives and accountabilities The nature of rules and guidance Communicating with the regulators The processes of supervision and enforcement UK regulation in the European and global context
Development of the FCA rules governing people	<ul style="list-style-type: none"> Overview of relevant regulation Regulation versus employment law Regulatory grip over firms and individuals How the rules apply to different roles Regulation, diversity and inclusion
Senior Management Arrangements, Systems and Controls	<ul style="list-style-type: none"> Review of the contents of the SYSC Sourcebook Identification of key controls operated by HR The importance of reporting lines and role profiles Records and what to keep
Approved Persons regime	<ul style="list-style-type: none"> Individual accountability before SM&CR Controlled Functions and regulatory approval Principles and Code of practice
Senior Managers and Certification Regime	<ul style="list-style-type: none"> Elements of the existing SM&CR regime Proposed extensions to the regime Senior management responsibilities (including HR and culture) Operating the certification process Oversight by senior management The Conduct Rules and Code
Recruitment, Fitness and Propriety	<ul style="list-style-type: none"> Ensuring suitability and competence Identifying risks and risk controls The contents of the FIT Sourcebook The role of HR as the overseer of Fitness and Propriety Regulatory approval and the interview process Regulatory references What happens when the F&P of an individual is in doubt?
Achieving, Assessing and Maintaining Competence	<ul style="list-style-type: none"> The key elements of the Training and Competence (TC) regime How the TC Sourcebook is used as a source of good practice Setting competence standards Record keeping requirements Evidencing initial competence Performance management and CPD
HR Practice, Risks and Controls	<ul style="list-style-type: none"> Amending contracts and policies Performance management Reporting to and supporting senior management Exits and settlement agreements Discipline and regulatory notifications Whistleblowing Record keeping
Remuneration	<ul style="list-style-type: none"> The Remuneration Code and its application Implications for compensation and benefits Alignment with corporate governance requirements
Culture and people risk	<ul style="list-style-type: none"> HR as a risk management function Identifying people risks Culture, conduct and welfare Regulatory support for the Corporate Governance Code Practical ways to assess culture Overseeing and reporting on people risks and culture

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.

Course Title	FINANCIAL SERVICES REGULATION FOR HR SPECIALISTS
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Date	8 October 2019	Event code	HRREG
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Delegate 1	Mr / Mrs / Miss / Ms / Other	Name	
	Tel	Role	
	Email		

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

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

Company Name	
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Address	Invoice Address (if different)
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Post Code	Post Code
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Booking Contact (if different)	
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Payment details	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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