

SMCR – good practice & benchmarking workshop

6 July 2021, 9:30am to 12:45pm
Remote delivery
Course fees: £345 + vat per person
Savings are available for multiple registrations
CPD: 3 hours

Outline & Objectives

Although the Senior Managers and Certification Regime (SMCR) is fast becoming a part of business-as-usual, the requirements and obligations on firms and individuals continue to be fine-tuned by the regulators. These modifications are being made in the light of operational experience and to address more immediate disruption caused by the pandemic and moves towards new norms of working.

As part of the process of integrating firms' responses to the SMCR with their broader people policies and procedures, operational responsibility for SMCR implementation is increasingly being delegated to HR. In consequence, it is ever more important for HR professionals, as well as those in Compliance and the other control functions, to understand the obligations and ramifications of the SMCR and to keep up to date with the latest developments.

CTP offers a range of workshops which support participants to familiarise themselves with the requirements of SMCR, especially for those who are new to the regime. This new workshop is designed as an updating and benchmarking session and is intended for those with experience of SMCR or who may have attended one of our other SMCR workshops previously.

This good practice event is designed to update participants on the latest regulatory developments expectations and provide a forum in which to compare and benchmark your firm's approach to, and delivery of, SMCR on an ongoing basis.

Workshop Style and Approach

The workshop will take the form of an interactive discussion, including the use of polls and breakout groups. Participants will be invited to speak from their own experiences and about practice within their firms, as far as they feel comfortable to do so without breaking commercial confidentialities. The workshop will enable participants to learn about the latest developments, share good practice and benchmark their firm's approaches against others. All participants are requested to observe the Chatham House Rule and undertake not to attribute any of the points raised during the session to any firm or individual.

This event will be delivered via a real time slide sharing and live audio visual platform, accessible by desktop computer, laptop, tablet or smartphone. Class size will be limited to ensure a high quality and interactive learning experience.

Workshop Agenda

The content will be updated to reflect developing regulatory expectations and priorities, supervisory experiences and evolving industry approaches.

Topics to be explored may include but are not limited to:

- The **Directory and data submission**
- Optimising the delivery of ongoing **Conduct Rules training**
- Issues arising from **regulatory referencing** requirements
- Reassessment of **fit and proper** status
- Performance management and **remote supervision**
- Staff **wellbeing and psychological safety**
- Handling **Conduct Rule breaches**
- **Succession planning** and handovers
- Securing equivalence between **remote, office-based and hybrid working**
- Beyond the minimum – **SMCR as a basis for enhanced people practices** across the firm
- Developing and reinforcing the **corporate culture** - striving for exemplary conduct

Workshop Leader

Charles Cattell is a consultant and trainer 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 CIPD, a Chartered Member of the CISI and a Chartered Insurance Practitioner and an Associate of the CII.

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