SMCR - the role of HR

Course outline and objectives

It is unrealistic for HR professionals in financial services organisations to leave all regulatory matters and responsibilities in the hands of the Compliance department. As the Senior Managers and Certification Regime (SMCR), is reviewed and modified, its requirements increasingly impact core areas of HR's remit. These include the vetting of applicants for significant roles, the compilation of references, the assessment of fitness and propriety, the setting of core competencies, the execution of learning and development plans and the outcomes of disciplinary actions.

The successful embedding of SMCR within a firm not only calls for the full engagement of HR whilst also providing a powerful platform from which the HR function can demonstrate its value to the business.

This focused workshop is designed specifically to help HR specialists contribute effectively to the embedding and ongoing operation of SMCR in their firms. Taking into account the latest regulatory developments, 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 capitalise on the SMCR to contribute towards business success.

This event is appropriate for participants from both dual (PRA and FCA) and solo-regulated (FCA) firms.

Training approach

The course programme will comprise a blend of trainer presentations, group discussion, practical examples and case studies. There will be ample opportunity for questions, experience sharing and networking.

Who will benefit?

Anyone responsible for key HR activities within a financial services organisation, including: **HR Policy, 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.

Dates and Fees

Live Online
1 December 2026
10:00 to 15:30 (1.5hr lunch break)
£495 + VAT

Savings available for multiple registrations

To book

Visit:
www.ctp.uk.com
Email:
emmabond@ctp.uk.com
Call:
0330 303 9779

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The Training Environment

Attending will help you:

1. **Keep up to date with the latest regulatory developments** and priorities and the implications for HR (incorporating the April 2026 Review).

2. Implement appropriate arrangements to **meet the requirements of the Senior Managers Regime, Certification and the learning and development associated with the Conduct Rules**

3. **Examine the impact of the SMCR requirements on key areas of the regime** such as Recruitment, Fitness & Propriety, Ongoing Competence, Performance Management and Discipline

4. **Understand what the regulators expect of those with Senior Management** responsibilities and the HR processes and interventions needed to support them

5. Establish **key HR risks, controls and indicators** in respect of regulatory requirements

6. Understand **how the SMCR fits into the bigger picture** of effective governance, individual accountability and the development of the corporate culture

Course Leader

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 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.

Course Programme

Session	Content
Regulation and oversight of people	• The suitability of resources • How the rules apply to different roles • HR practice in the regulated environment • Regulatory grip over people • Regulatory approaches to supervision and enforcement
Scope and Elements of the Senior Managers and Certification Regime	• The scope of SMCR • Permutations of the arrangements and recent enhancements • Features of the Senior Managers Regime • Features of the Certification requirements • Obligations under the Conduct Rules • Anticipated forthcoming changes
Ownership of and responsibility for the regime	• Roles and opportunities for HR • The nature of senior management engagement • The role of the control functions (Risk, Compliance and Internal Audit) • The role of the Company Secretary
Practical aspects of implementing the regime by HR	• The recruitment process and regulatory references • Determining fitness and propriety • Assessing and confirming initial competence • Obtaining regulatory approval • Administering the Certification Regime • Performance management and appraisal • Learning and development, training and competence • Provisions for maintaining competence and CPD • Providing training on the Conduct Rules

More challenging situations	• Amending contracts and policies • Dealing with disciplinary issues • What if someone's fitness and propriety is in doubt • Exits and settlement agreements
Reporting and record keeping	• Providing relevant information to prescribed responsibility holders • Records of individual responsibilities • Records of decisions, actions and precedents • Providing reports to the regulator • Making notifications to the regulator
SMCR and the broader HR agenda	• Using SMCR to mitigate people risks • Whistleblowing • The SMCR as a vehicle to develop and reinforce corporate culture

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