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FCA Regulation for HR Specialists

Course outline and objectives

This focused workshop has been designed primarily for human resources specialists. It explores the implications of working in a regulated environment and, in particular, addresses those aspects of the financial services 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.

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 seeking a greater understanding of how the regulatory requirements may increasingly impact their role. The workshop would also benefit operational managers who are assuming HR responsibilities and need to understand how these can be undertaken effectively while meeting regulatory obligations.

Training Approach

The workshop 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. All course materials (and at face-to-face events, refreshments and lunch) will be provided.

Dates and Fees

Live Online
3 February 2027
10am to 12pm & 1.30pm to 3.30pm
£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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Attending will help you to:

- Understand the nature of financial services regulation and ensure you are up to date with the latest regulatory developments, especially in relation to the Senior Managers and Certification Regime
- 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

Course 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 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.

Course Programme

Session	Content
The UK financial services regulatory framework	• Who are the regulators? • Regulatory objectives and accountabilities • The nature of rules and guidance • Relationships with the regulators • UK regulation in the European and global context
Development of the FCA rules governing people	• Overview of relevant regulation • Regulation versus employment law • Regulatory grip over firms and individuals • Proposed regulatory developments
Senior Management Arrangements, Systems and Controls	• HR issues addressed in the SYSC Sourcebook • Identification of key controls operated by HR
Recruitment, Fitness and Propriety	• Ensuring suitability and competence • Determining Fitness and Propriety • Regulatory approval and the interview process • Regulatory references and regulatory approval
Achieving, Assessing and Maintaining Competence	• Key elements of the Training and Competence (TC) regime • Using the TC Sourcebook as a source of good practice • Setting standards and evidencing initial competence • Performance management • Maintaining competence and continuing Professional Development

HR Practice, Risks and Controls	• Amending contracts and policies • Discipline and regulatory notifications • Exits and settlement agreements • Reporting to and supporting senior management • Record keeping
Remuneration	• The Remuneration Code and its application • Implications for compensation and benefits • Alignment with corporate governance requirements
Culture and people risk	• HR as a risk management function • Regulatory expectations regarding culture and behaviour • Whistleblowing, speaking up and psychological safety • The approach towards Diversity and Inclusion • Practical ways to assess culture

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