

Introduction to the Senior Managers & Certification Regime for Compliance and HR Professionals



**16 November 2018
Imperial House
8 Kean Street
London WC2B 4AS**

The new Senior Managers and Certification Regime (SMCR)* is planned for implementation into the wider Financial Services landscape from 10th December 2018 for Insurers and from some point in 2019 for the wider market place. Having been a requirement within the banking arena since March 2016, it is clear that a joined up approach from both the Compliance and HR Functions is a key part of the support structure that businesses require in the run up and during implementation of the new regulatory requirements. As a result, Compliance and HR Professionals will be called upon more than ever before to help regulated businesses implement not only the new requirements of the regime, but also to manage it and oversight it on an on-going basis.

This event will allow individuals to extend their learning about the new Regime and consider, on behalf of their business what areas, processes, documentation and record keeping systems will need reviewing and updating as a result of this new regime. It will allow Compliance & HR professionals to come together to learn from experience that has been gained in the banking sector, and to help them start to build their “to do” lists for project implementation

**HM Treasury: Senior Managers and Certification Regime: extension to all FSMA authorised persons, October 2015*

Please note: all FLA events are subject to the application of competition law. Details will be available on the day and are included in the booking form.

Introduction to the Senior Managers & Certification Regime for Compliance and HR Professionals



16 November 2018

Programme

Registration - 9:30. Start - 10:00. Finish - 15:30

Introduction and Learning Objectives

- Introductions
- Learning objectives for the programme
- Personal objectives for attending

An overview of the newly proposed regime

- Background to the regime
- Scope and timing
- Key components of the new regime:
 - Responsibility Mapping
 - Governance Maps
 - Statements of Responsibility
 - Fitness & Propriety
 - Certification Regime
 - Conduct Rules
 - Duty of Responsibility

GROUP ACTIVITY – What areas of my business will be impacted by the new regime?

Break

Under the Microscope - I

- The type of firm we are
- Identifying the elements of the regime that will affect our firm
- The impact on governance
- Project planning assessment

GROUP ACTIVITY – Building actions from project plans

Under the Microscope - II

- Definition of Significant Harm Functions (SHF)
- The range of SHFs
- The component parts of a Certification Regime
- Timeframes and evidence

Lunch

People

- Current regulation
- Changes

GROUP ACTIVITY – Impact on personal development and training

Impacted processes

- Practical steps can to take now
- Key areas of people management that will require changes:
 - Recruitment
 - Referencing
 - On-boarding
 - Employment contracts
 - Conduct Rules adherence
 - Disciplinary procedures

GROUP ACTIVITY – Who needs to be briefed about what?

Summary & Close

- Review of learning objectives
- Building your “To do” list
- Next steps

Introduction to the Senior Managers & Certification Regime for Compliance and HR Professionals



By attending this workshop individuals will be able to:

- Discuss and explain the reasons behind the introduction of the new SMCR and the impact on HR & Compliance
- Consider and explain the key component parts of the new Regime and the areas of business that might be affected
- Discuss the requirements of the new Certification Regime and its impact on both HR Compliance
- Understand all of the elements of SMCR where a “people component” exists and consider how this may affect existing policies and procedures, and their oversight
- Consider the extended Fit and Proper requirements and what this will mean to people and process, and controls
- Discuss and debate how a SMCR will work in practice

Trainer

Julie Pardy has been operating in the FS market place since 1986. Her first 20 years in the industry were spent in senior operational , compliance and L & D roles within a number of financial institutions. Her practical application, enthusiasm and detailed knowledge of both regulation and the financial services market place allows her to support businesses in meeting their regulatory requirements.

For the last 9 years Julie has provided regulatory and training support on a consultancy basis to businesses across the whole financial services spectrum. Specialising in FCA regulation with a focus on Conduct Risk, Training & Competence, Approved Persons Responsibilities, Culture and Behavioural Economics. Julie has most recently worked very closely with the British Banking Association to help host a range of SMR webinars and training events to help support firms in implementing the new Senior Managers Regime in Banking.

In the last 2 years Julie has been working with firms not only to help them effectively embed SMCR but also to help them implement system solutions to assist them in managing employee competence and responsibilities.



Regime for Compliance and HR Professionals

Please register the following delegate(s) for the above event

BOOKING DETAILS - PLEASE USE BLOCK CAPITALS

Company name:

Contact name:

Job title:

Address:

Postcode:

Telephone:

Email:

DELEGATE 1

DELEGATE 2

First name:

First name:

Surname:

Surname:

Company:

Company:

Job title:

Job title:

Telephone:

Telephone:

Email:

Email:

Your special needs or dietary requirements:

Your special needs or dietary requirements:

All FLA meetings and events, including social events, are subject to the application of competition law and therefore must be conducted in compliance with competition law. Any business information which is sensitive or strategically useful must not be discussed, including any reference to pricing, margins, discounts, trading terms, use of third party suppliers or market share. You are reminded that failure to comply with competition law may bring with it serious consequences for individuals and their companies. Such consequences include heavy fines and, in certain cases, the imposition of criminal penalties and sentences.

Phone: Jon Dear on +44 (0)20 7420 9623 Fax: +44 (0)20 7420 9631

Web: www.flaevents.org.uk Email: training@fla.org.uk

Post: Jon Dear, FLA, Imperial House, 8 Kean Street, London, WC2B 4AS

COURSE FEES

☐ **FLA Member's fee per delegate:** £440 + VAT☐ **Non-FLA Member's fee per delegate:** £595 + VAT

PAYMENT: Upon registering you will be sent an invoice; payment is required before attending the event.

Please
invoice ☐Provide
purchase
order no:Payment
by
cheque ☐Visa ☐Mastercard ☐

Credit Card no:

Amount £:
(Please include VAT)

Name (as on card)

Expiry date on card:

Credit Card's registered address (postcode & house/building number only):

Postcode:

Street/House/Building No:

Security code (last 3 digits on reverse of card):

Signature:

Today's date:

Cardholder name and address (including company name if applicable) if different from above:

Name:

Address:

Postcode:

Cancellations received more than 30 days prior to the course start date incur an administrative charge of £70.00 +VAT per delegate. Cancellations 15-30 days incur a charge of 50% of the course fee in addition to the administrative £70+VAT charge. There is no refund on cancellations made 14 days prior to the course start date.

Postponing from one course to another is treated as a cancellation.

You can substitute one delegate for another at no additional cost. If you would like to do this, please let us know before noon on the business day prior to the start of the course.

Data Protection: The Finance & Leasing Association will use the data you provide to process your registration. We would also like to use the data to keep you informed (by post, telephone, email or fax) of other FLA training courses, products and services. If you do not want us to do so, please tick this box: ☐

Please note: all FLA events are subject to the application of competition law. Details will be available on the day and are included in the booking form.