TOPIC-SPECIFIC LEARNING JOURNEY

COURSE PACKAGE:

"SM&CR"



ENTRIMA's Learning Platform lists a wide range of courses, all related to markets & trading. Some of these courses have been bundled to form a course package, as they all concerns the same field of expertise.

The Course Package "**Senior Manager & Certification Regime *(SM&CR)***" consists of these courses:

	page
1. Background & Scope	3
2. Conduct Rules	4
3. Certification Regime	5
4. Senior Managers Regime	6

Each of these courses ends with an exam. Upon passing the exam the learner will be certified instantly. The contents, duration and level of each course is set out in the pages hereafter.

Duration

Total duration*) of all four (**4**) courses together: **100** minutes

- **Study hours:** 2
- **CPD points:** 2

*) *Excluding examination*

COURSE:
BACKGROUND & SCOPE

This training covers an introduction to the Senior Managers and Certification Regime (SM&CR). It touches on the basics of the package and sets out which authorities play a role in this field. The reasons for the introduction of SM&CR is covered, while explaining its objectives.

This training includes the following topics:

- Background
  - Conduct failings
  - Parliamentary Commission for Banking Standards (PCBS)
- Supervision
  - Financial Conduct Authority (FCA)
  - Prudential Regulation Authority (PRA)
- Accountability framework
  - Objectives
  - Conduct
  - Competence
- Scope
  - Banks
  - Insurers
  - Solo-regulated firms
  - FSMA authorised firms

❖ Level:	Basic	No prerequisites
❖ Intensity:	25 minutes	Excluding examination
❖ Language:	Voice & text	English
❖ Including:	Examination	Certification upon passing

COURSE:
CONDUCT RULES

This training covers the fundamentals of the Conduct Rules, which are part of the Senior Managers and Certification Regime (SM&CR). During the course it is explained what types of Conduct Rules there are and to which professionals these apply.

This training includes the following topics:

- Who?
  - Senior Managers
  - Certified Person
  - All non-ancillary staff
- Code of conduct
  - Cocon
- Reporting of breaches
  - FCA
  - PRA
- Conduct rules
  - Tier 1 rules
  - Tier 2 rules
- Taking responsibility
  - Risk culture
  - Risk governance

❖	Level:	Basic	No prerequisites
❖	Intensity:	25 minutes	Excluding examination
❖	Language:	Voice & text	English
❖	Including:	Examination	Certification upon passing

COURSE:
CERTIFICATION REGIME

This training touches on the basics of the Certification Regime. In this course it is explained what this regime is about and to whom it applies. Attention is given to the role firms in scope have to perform and how to organise this.

This training includes the following topics:

- Roles
  - Significant Harm Functions
  - Material Risk Takers
- Certification
  - Certifying that employees are 'fit and proper'
  - Certification functions
- Risk of significant harm to:
  - The firm
  - Its reputation
  - Its customers
- How, when & what?
  - Annual certification
- Relevant aspects
  - Qualification
  - Training
  - Competence
  - Personal characteristics

❖	Level:	Basic	No prerequisites
❖	Intensity:	25 minutes	Excluding examination
❖	Language:	Voice & text	English
❖	Including:	Examination	Certification upon passing

COURSE:
SENIOR MANAGERS REGIME

This training covers the fundamentals of the Senior Managers Regime (SMR). In the course it is set out which Senior Manager Functions there are. Attention is also given to Regulator Approval, Prescribed Responsibilities, Statements of Responsibilities and the Responsibilities Map.

This training includes the following topics:

- Senior Managers
  - Direct accountability
  - Important decisions
- Senior Management Functions
  - Which roles?
  - Which functions?
  - 19 functions
  - Company-specific use and allocation
- Regulator approval
  - Key functions
  - Before formal appointment
- Organisation
  - Prescribed Responsibilities
  - Statement of Responsibilities
  - Responsibilities Map

❖	Level:	Basic	No prerequisites
❖	Intensity:	25 minutes	Excluding examination
❖	Language:	Voice & text	English
❖	Including:	Examination	Certification upon passing