



Increasing Responsibilities for HR in Financial Services

There has never been more of a need for HR to understand Financial Services regulatory requirements.

Core Details

9.30am — 5.00pm

 6 CPD Hours

To Book

Call

+44 (0)204 551 8568
(Please choose option 2)

Email

info@thezishi.com

Online

thezishi.com

Your Consultant

Philippa Grocott

Philippa is Head of Regulatory Sales and Apprenticeships at ZISHI Cornerstone. Formerly a Partner at FSTP and Head of Learning for Barclays Direct Channels, she brings to the role extensive experience of managing a major training function covering all of the people aspects of financial advice, mortgages and general insurance.

She has also had a highly successful career in regulated sales and sales management which gives her the strong customer focus and business awareness which is much appreciated by clients.

She writes articles for various financial service publications on Training & Competence issues as well as areas of current regulatory focus and concern.

Whether your firm want to believe it or not the Financial Services sector is all about people. Your HR department oversees recruitment, training and appraisal processes, and has a key role in your firm's remuneration strategy. From the regulator's perspective, this gives you a unique position in the management of people risk.

SMCR has meant there is much more of a focus on individuals holding Senior Management Functions. With the possibility of significant fines for both individuals and firms, it's down to your department to make sure you hire the right people in the right roles.

People risk is high on the regulator's agenda. And it's much more common for Heads of HR to be interviewed on supervisory visits.

The regulator is looking for you to demonstrate best practice in:

- The appropriateness of Senior Management hires
- Adherence to SM&CR requirements
- Structures, reporting lines and job descriptions
- Remuneration strategies
- Recruitment processes
- Training and competence programmes

Join us for this informative one-day course. You'll be better positioned to protect your business and withstand the regulator's scrutiny:

- Gain insight into the regulator's expectations of HR roles
- Take a risk-based approach to recruitment
- Learn the standards required for Senior Management Functions (and the systems and controls that should be in place)
- Collaborate better with your compliance team
- Ensure your training programme meets the standards and staff are up-to-date with the latest regulation
- Get expert insight into how the regulator thinks and what it means or HR



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Cost

£695 / person + VAT £834
 A discount of 10% per person is available when booking for 2 or more delegates on the same course in a single booking.

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Report writing skills are highly valuable

Protect your firm (and workforce) – The regulator can impose significant fines on both the company and the individual if a member of staff does not perform their role adequately. Avoid this by making sure you know exactly who should be doing what.

Promote better working relationships – You have to work more closely with compliance staff. By improving your knowledge of people risk, you can better collaborate and communicate with other functions within your firm.

Encourage best practice – You'll help create a culture of good governance. And by introducing watertight due diligence processes and recruitment systems you'll make sure your firm avoids regulatory fines and bad press.

Raise the profile of your department – Ever changing regulation gives HR departments a greater role in business strategy. Embedding people risk in the firm's strategy will help your team add value to the business's commercial success.

In-house Course?

This course works well as an in-house event, contact us to discuss your needs on 0204 551 8568 or email info@thezishi.com



ZISHI Cornerstone

Agenda

Session	Content
The rules governing people	<ul style="list-style-type: none"> • The appropriateness of Senior Management hires • Which rules apply to each role? • The regulator's rules versus employment law • Senior Management recruitment • High Level Standards for authorised persons • Understanding your compliance responsibilities
The importance of fitness and propriety	<ul style="list-style-type: none"> • The appropriateness of Senior Management hires • An overview of the FIT sourcebook • How to decide which vetting standards to apply • The role of HR in overseeing fitness and propriety • What to do when fitness and propriety is in question
Senior Management arrangements, systems and controls	<ul style="list-style-type: none"> • The appropriateness of Senior Management hires • The SYSC sourcebook • Key controls carried out by HR • How to deal with failing controls • Role profiles and reporting lines • Record keeping embedding best practices



The CPD Standards Office
 CPD PROVIDER: 21020
 2016 - 2018
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Agenda continued

Session	Content
Getting the recruitment and application process right	<ul style="list-style-type: none"> • The appropriateness of Senior Management hires • Assessing suitability and competence • Conducting competence-based interviews • Vetting applications: a case study exercise • Designing induction programmes
Understanding and setting competence standards	<ul style="list-style-type: none"> • The appropriateness of senior management hires • The training and competence (T&C) regulations • The fundamentals of a T&C regime • Understanding record keeping requirements • Recording initial and on-going competence • How to build a competence framework: case studies
Risks and risk controls	<ul style="list-style-type: none"> • The appropriateness of Senior Management hires • How to identify risk • Setting key performance indicators: an exercise • Establishing controls to prevent and mitigate risk