



SMRComply Sample Screenshots

# Senior Management Functions and Responsibilities

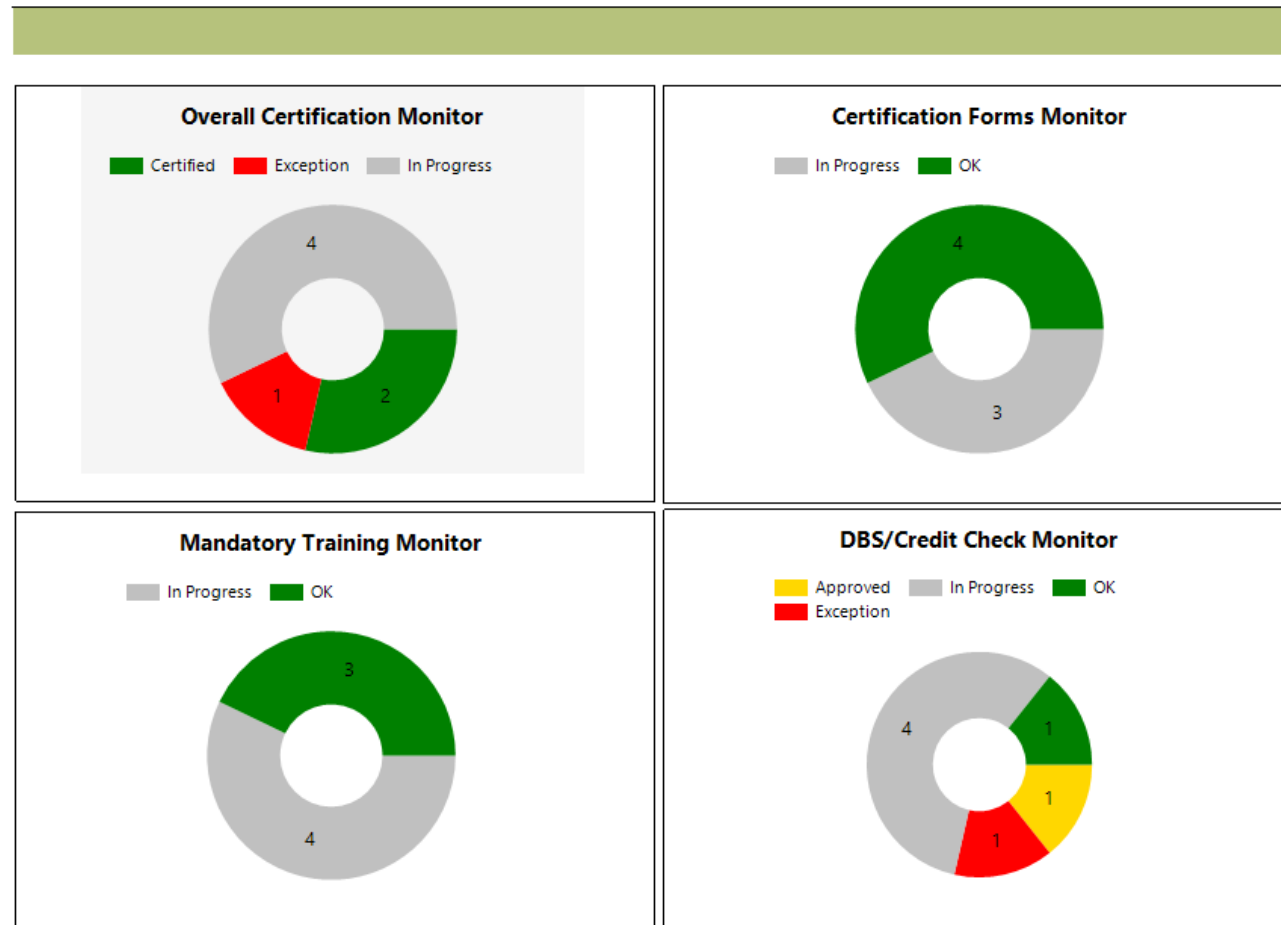
**Senior Management Responsibilities Matrix as at 17/06/2019 16:11:48**

Code	Prescribed Responsibilities	SMF1	SMF2	SMF3		SMF4
			Wayne Mathews 15/08/2016	Eric Barker 01/02/2016	Trevor Barratt 04/01/2016	Shaun Ahmed 03/05/2016
a	Responsibility for the firm's performance of its obligations under the senior management regime					
b	Responsibility for the firm's performance of its obligations under the employee certification regime					
c	Responsibility for compliance with the requirements of the regulatory system about the management responsibilities map					
d	Overall responsibility for the firm's policies and procedures for countering the risk that the firm might be used to further financial crime					
e	Responsibility for the allocation of all prescribed responsibilities				X	
f	Responsibility for: (a) leading the development of; and (b) monitoring the effective implementation of; policies and procedures for the induction, training and professional development of all members of the firm's governing body.				X	
g	Responsibility for monitoring the effective implementation of policies and procedures for the induction, training and professional development of all persons performing esignated senior management functions on behalf of the firm other than members of the governing body.					
h	Responsibility for overseeing the adoption of the firm's culture in the day-to-day management of the firm					
i	Responsibility for leading the development of the firm's culture by the governing body as a whole.		X			
j	Responsibility for: (a) safeguarding the independence of; and (b) oversight of the performance of: the internal audit function in accordance with SYSC 6.2 (Internal Audit)		X			
k	Responsibility for: (a) safeguarding the independence of; and (b) oversight of the performance of; the compliance function in accordance with <a href="#">SYSC 6.1(Compliance)</a>				X	
l	Responsibility for: (a) safeguarding the independence of; and					

# Certification Dashboard



## Certification Dashboard



# Annual Certification

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**Certification Assessment**

Name: 2019 SMCR Certification

**Staff Requiring Certification**

Name	Job Title	Job Description	Fit&Proper	Prof Conduct	C&C	DBS/Credit	Training	Ready To Certify	Certified
Name101 Surname101	Global Head of GMC	OK	OK	Approved	OK	OK	OK	Compliant	Certified
Name103 Surname103	Platinum Sales	OK	OK	OK	Exception	OK	OK	Compliant With Conditions	Certified With Conditions
Name105 Surname105	Financial Sponsors Group, Solution Sales	OK	OK	OK	OK	OK	OK	Compliant	Certified
Name109 Surname109	Energy Trader - Fuel Swaps Trading Desk - GMC	OK	OK	OK	OK	OK	OK	Compliant	Certified
Name111 Surname111	Senior Energy Trader - Distillates Swaps Trading Desk - GMC	OK	OK	OK	OK	OK	OK	Compliant	Certified
Name112 Surname112	PRIVATE LOAN SALES	OK	OK	OK	OK	OK	OK	Compliant	Certified
Name115 Surname115	Head of External Distribution Domestic Europe	OK	OK	OK	OK	OK	OK	Compliant	Certified
Name117 Surname117	Multi-Asset Solutions Group - PHA - Head of ED Solutions Sales - Domestic Europe	OK	OK	Approved	OK	Exception	OK	Compliant With Conditions	Certified With Conditions

# Initial Certification/Onboarding

<a href="#">Home</a> » <a href="#">Processes</a> » <a href="#">Initial Certification</a> » Initial Certification												
<b>Certification Assessment</b> Name: Initial Certification												
<b>Staff Requiring Certification</b>												
Name	Job Title	Job Description	CV	Fit&Proper	Conduct	Competence	Background	Training	Qualifications	Compliant	Certification Status	Certification Date
Cert Person 2	Corporate Research	OK	OK	OK	OK	OK	OK	OK	OK	Certified	Certified	Tue March 05 2019
Cert Person 3	Equity Trader	OK	OK	OK	OK	OK	OK	Pending...	OK	Certified With Conditions	Certified With Conditions	Mon April 29 2019
Cert Person 4	Institutional Sales	OK	OK	OK	OK	Pending...	OK	OK	Pending...	Pending...	Pending...	
Cert Person 7	JT	OK	OK	OK	OK	OK	OK	OK	OK	Certified	Pending...	
Cert Person 8		Pending...	Pending...	Approved	Pending...	Pending...	Exception	Pending...	Pending...	Pending...	Pending...	

# Senior Manager Conduct Rules

The screenshot displays a web application interface for 'Senior Manager Conduct Rules'. At the top, there is a navigation bar with several menu items: 'My Role', 'My Assessments', 'Certification', 'My KPIs', 'CPD', 'Report a Breach', 'Firms Accountability', 'Processes', 'Regulations', and 'HRC03\EBARKER'. Below the navigation bar, the breadcrumb trail reads 'Home » My Role » My Conduct Rules'. The main content area features a large box titled 'Regulatory Conduct Rules' containing the text: 'Conduct Rules are high level, reflecting the core standards expected of staff who work in banks. Additional Conduct Rules apply to Senior Managers. You must comply with the conduct rules below, and report any Conduct Rule breaches that you become aware of.' Below this box is a green header for 'My Conduct Rules' with a collapse icon. Underneath, a table lists ten specific conduct rules, each on a separate row.

Conduct Rule
You must act with integrity
You must act with due skill, care and diligence
You must be open and cooperative with regulators.
You must treat customers fairly
You must comply with required standards of market conduct
You must maintain effective control of the business
You must comply with regulatory requirements
You must delegate appropriately and effectively
You must make appropriate disclosures to regulators

# Conduct Rule Breaches Register

Name	Breach type	Issue Severity	Issue Status	Creation Date
<a href="#">Client information transmitted outside the firm</a>	Suspected	Medium	Outstanding	19/09/2017
<a href="#">New Breach</a>	Suspected	Critical	Outstanding	13/09/2017
<a href="#">Lack of consistency in handling customer complaints</a>	Actual	High	Undefined	28/04/2016
<a href="#">Some staff training is not up-to-date</a>	Actual	Medium	Outstanding	02/03/2016
<a href="#">May not be calculating the down-side risk in customer portfolios accurately</a>	Suspected	High	Resolved	08/02/2016
<a href="#">Staff members in the operational support department may lack up to date training</a>	Suspected	Medium	Outstanding	13/01/2016
<a href="#">Manager of Retail lending decisions sent incorrect information to regulators</a>	Actual	High	Resolved	13/01/2016
<a href="#">Head of Payment Services does not have required training</a>	Actual	Low	Mitigation in place	13/01/2016
<a href="#">Clarity of investment risks in marketing material</a>	Actual	High	Mitigation in place	05/01/2016
<a href="#">Mortgage advice not made Appropriate disclosure to regulators about PPI cover</a>	Suspected	Breach by senior manager	Resolved	17/12/2015
<a href="#">Corporate investments has not responded to request from regulator</a>	Actual	Critical	Outstanding	07/12/2015

# Example Breach Recording

My Role My Assessments Certification My KPIs CPD Report a Breach Firms Accountability Processes Regulations HRC03\EBARKER

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Edit + New

**Breach Details**

**Name:**  
Client information transmitted outside the firm

**Date when known or suspected breach(es) came to the attention of the firm:**  
19/09/2017

**Is this an Actual Or Suspected Breach :**  
Suspected

**Issue Severity:**  
Medium

**Issue Status:**  
Outstanding

**Issue Details:**  
On 19 September 2017 at 18.15 hours, Andrew emailed his client meeting list to his personal email address – without permission - which could result in a potential client data leakage.

The reason given by Andrew was to enable him to prepare for his annual appraisal offline from home which he was not able to complete during office hours because he had to finish his e-learning which he had fallen behind on.

**Date breach reported to regulator:**

In assessing compliance with, or a breach of, a <i>rule</i> in <i>COCON</i> , the <i>FCA</i> will have regard to the context in which a course of conduct was undertaken, including:	
(1)	the precise circumstances of the individual case;
(2)	the characteristics of the particular function performed by the individual in question; and
(3)	the behaviour expected in that function.

**Select the conduct rule which has been breached**

Requirement Statement

You must act with due skill, care and diligence