



## Pointing you in the right direction

### The Senior Managers and Certification Regime Toolkit

#### What is it?

Our SMCR Toolkit for authorised firms falling under the extended regime, has been designed by a combination of our consultants, financial services lawyers and HR professionals and is packed with helpful material so that you can meet regulatory expectations cost effectively.



– **Project plan:** A detailed project plan based on our past projects with firms that have already gone through the SMCR process. The project plan is easily customisable and cross refers to the other materials in the Toolkit.



– **Training slides:** Training slides for senior managers and certified staff that link to our detailed Q&A so that you can up-skill your teams on the new regime and the associated personal liability.



– **Question and Answers document:** These are the top 50 questions that our clients have asked during our past SMCR projects. We provide references to the relevant provisions.



– **Responsibility map templates:** The pack contains template responsibility map with pre-populated responsibilities identified for the most common areas.



– **Rule matrix:** We have produced a rule matrix so that you can easily see which rules apply and where they can be found.



– **Policy templates:** We have a bank of policy templates including a handover policy, certification policy, conduct policy, whistleblowing policy, training policy, regulatory references policy.



– **Compliance monitoring:** Building on the rules matrix, we have designed a compliance monitoring programme to assist your compliance teams in demonstrating that they have adequate oversight of the applicable requirements, as outlined by SYSC 6.

**Please ask any of the Eversheds Sutherland contacts overleaf for more information about the pricing of this Toolkit and to see a demo.**

## Contacts



**David Saunders**

*Partner*

T: +44 20 7919 4685  
M: +44 755 784 7402  
davidsaunders@  
eversheds-sutherland.com



**Simon Collins**

*Managing Director*

T: +44 20 7919 0725  
M: +44 746 835 1655  
simoncollins  
@eversheds-sutherland.com



**Elizabeth Graves**

*Partner*

T: +44 1223 44 3761  
M: +44 791 901 4664  
elizabethgraves  
@eversheds-sutherland.com



**Paul Fontes**

*Partner*

T: +44 20 7919 4655  
M: +44 793 955 2607  
paulfontes@  
eversheds-sutherland.com



**Michaela Walker**

*Partner*

T: +44 20 7919 0541  
M: +44 788 780 4075  
michaelawalker@  
eversheds-sutherland.com

## Type of Toolkit for you

For enhanced firms and larger core firms we have our gold, silver and bronze services reflecting your need for the level of customisation and support based on the size and complexity of your organisation. We also have our "Toolkit lite" for standard core and limited scope firms. Please contact us to discuss the service best suited for your firm's circumstances.