



SENIOR MANAGEMENT & CERTIFICATION REGIME – USEFUL LINKS / INFORMATION SOURCES

FCA materials and information sources

[FCA website lead](#) page, including video by bank senior managers
FCA website, [solo-regulated firms](#) information
FCA website, [guide](#) for solo-regulated firms (July 2018)
FCA website, guide [Statement of Responsibilities and responsibilities maps](#) (March 2019)
FCA SM&CR Banking Stocktake [report](#) published 5th August 2019 (NEW)
FCA [podcast transcript](#), interview with Jonathan Davidson and Jayne-Anne Gadhia on Culture and SMCR (NEW)

FCA Handbook links

[COCON](#) – application and purpose (Code of Conduct)

SYSC – [application and purpose](#), table outlines SYSC chapters that apply to firms by type

Useful references in SYSC

SYSC 22 – Regulatory references (template standard material Annex 1R)

SYSC 23 – SM&CR introduction and application

SYSC 24 – SM&CR allocation of prescribed responsibilities

SYSC 25 – SM&CR management responsibility maps and handover procedures and materials

SYSC 26 – SM&CR overall and local responsibility

SYSC 27 – SM&CR Certification Regime

Banking Standards Board – guidance to '[Statement of Good Practice](#)' The Certification Regime:
Fitness and Propriety Assessment Principles

Firms should use this as a guide to support their understanding of the FCA SM&CR, but be aware that rules and references can change, all information and links in this document were correct at the time of publication