

February 2024 Examination - J07 Supervision in a regulated environment

Question Number	Syllabus learning outcomes being examined	
1.	1.1	Conduct and competency of managers in scope of the SM&CR regime and T&C requirements as relevant;
2.	1.4	The knowledge and skill requirements of a manager and the competencies displayed;
3.	2.1	Leadership models and theories, e.g. Belbin, Hersey & Blanchard, McGregor, Covey, Myers Briggs, Tuckman, emotional intelligence, Scouller's three levels of leadership;
4.	3.1	The key methods of communication;
5.	4.1	The relationship of recruitment to business needs and elements of employment contracts;
6.	5.4	Professionalism requirements and CPD.
7.	6.4	The manager's role and responsibilities in coaching, counselling and assessing.
8.	7.1	FCA Principles for Businesses, code of conduct (COCON) and their application in regulated activity;
9.	7.2	FCA Consumer Duty, Conduct of business rules and guidance including vulnerable customers;
10.	8.4	The performance review and appraisal process;
11.	8.5	Target setting, company objectives and the management cycle;
12.	9.2	The main approaches and quality standards in use;
13.	9.3	Clarity of management information, e.g. exception reports and their uses;
14.	10.1	Managing unsatisfactory performance;
15.	10.4	Guidelines for contract termination and appeals;