

April 2019 Examination - J07 Supervision in a regulated environment

Syllabus learning outcomes being examined

1.	1.6	Understand the characteristics and role of a supervisor: Direct and indirect supervision
2.	2.4	Leadership and behavioural models: Key motivational models
3.	3.5, 3.6	Communication: Complaints handling
4.	4.2	Employment contracts
5.	4.6	Understand the legal and regulatory aspects of recruitment, training and competence: The content of the T&C scheme
6.	5.2	Training needs analysis
7.	5.4	Understand how learning takes place: Training validation
8.	6.3; 6.4	Understand the coaching, counselling and assessing processes and the roles within them: Assessment
9.	7.2	The sales process – review of the regulatory position
10.	7.4	Financial crime prevention and data protection requirements
11.	8.1; 8.5	Understand the setting and measuring of objectives: Corporate and individual objectives
12.	8.2	Understand the setting and measuring of objectives. Key performance indicators
13.	9.1	Understand management information and quality standards.
14.	10.2	Understand relevant legislation in connection with employment, performance management and termination of employment: Unsatisfactory performance
15.	10.4	Understand relevant legislation in connection with employment, performance management and termination of employment: Terminations and appeal procedures.