

**April 2018 Examination - J07 Supervision in a regulated environment**

**Syllabus learning outcomes being examined**

1.	1.6	Understand the distinction between direct and indirect supervision.
2.	2.2	Understand leadership models and theories.
3.	3.4	Understand how team meetings aid the business.
4.	3.5 /3.6	Understand the regulatory requirements and appropriate methods for complaints handling and the role of the Financial Ombudsman Service.
5.	4.5	Understand what constitutes a suitable induction plan.
6.	4.4	Understand competency based interviewing.
7.	5.1	Understand the theories of learning.
8.	5.5	Understand the relevance to individual and corporate objectives of structured training and development plans.
9.	6.1	Understand the key features and applications of a coaching process.
10.	7.2	Understand the FCA principles for business and their application in regulated activity.
11.	7.6	Understand the supervisor's role in the sales process.
12.	8.2	Understand major key performance indicators and their uses.
13.	9.3	Understand exception reports and their uses.
14.	10.3	Understand the different levels of misconduct.
15.	10.4	Understand the guidelines for contract termination and appeals.