

# Delivering Effective Conduct Rules Training

## remote delivery

**10 November 2021, remote delivery**

**9:30am to 12:45pm**

**Course fees: £345 + VAT per person**

**Savings for multiple registrations**

### Outline & Objectives

Now the Senior Managers and Certification Regime (SMCR) has been implemented, one of the most significant challenges faced by firms is how to comply with their training obligations in respect of the Conduct Rules. Solo-regulated firms now have until 31 March 2021 to ensure all relevant staff are notified of the relevant rules and take all reasonable steps to ensure those staff understand how the rules apply to them.

This means staff need to be trained not only to have an awareness and broad understanding of the rules, but also to have a deeper understanding of the practical application of the specific rules relevant to their work. This is important: the FCA has stated it intends to increase its supervisory focus on the Conduct Rules and expects firms to ensure they are embedding these requirements into their businesses in order to meet their regulatory obligations.

One of the most effective ways to meet these expectations is to arrange for training on the Conduct Rules to be delivered by line managers and supervisors. This approach can help to ensure the Conduct Rules are explained in terms truly relevant to individuals' job roles.

This focused course will help firms meet the challenge of delivering relevant and effective Conduct Rules training across their organisation.

*Attending this practical workshop will help you:*

1. **Bring the Conduct Rules to life** and make them relevant for your staff
2. **Position the Conduct Rules in the context of your firm's style** and approach to business
3. **Achieve buy-in** to the Conduct Rules from others
4. Understand **what the regulators expect** firms and senior managers to do to meet their Conduct Rules training obligations
5. Apply appropriate **methods for conducting successful Conduct Rules training**
6. Take steps to **ensure understanding of the Conduct Rules**

### Who will benefit?

This practical workshop has been designed to equip **Line Managers** and **Supervisors** with the tools and techniques needed to deliver relevant Conduct Rules training to their direct reports. It is also suitable for those in **Compliance**, **Human Resources** and the **Learning and Development** functions who have responsibility for ensuring the effectiveness of their firm's Conduct Rules training arrangements.

This course is suitable for participants from both dual-regulated (PRA and FCA) and solo-regulated (FCA) firms.

### Training Approach

This course will be delivered via a real time slide sharing and live audio visual platform, accessible by desktop computer, laptop, tablet or smartphone. Delegate numbers will be limited to ensure a high quality learning environment.

## Course Presenter

**Charles Cattell** is a consultant and training practitioner with extensive expertise across the financial services sector. He advises, trains and develops a broad range of financial services clients and their senior managers about the human aspects of regulation with a particular focus on managing people risk, the development of competence and expertise and the enhancement of corporate culture. His clients include banks, product providers, intermediary firms, and insurers with whom he works at a senior level on learning, leadership, regulatory and corporate governance issues. Charles also works with trade associations, examining bodies and regulators, whom he has advised on competence and professionalism issues. He is a Chartered Fellow of the Chartered Institute of Personnel and Development, a Chartered Member of the Chartered Institute for Securities & Investment and a Chartered Insurance Practitioner and an Associate of the Chartered Insurance Institute.

## Course Programme

Session	Content
<b>Introduction</b>	<ul style="list-style-type: none"><li>• Experience of training and coaching</li><li>• Knowledge of the Conduct Rules</li></ul>
<b>The Conduct Rules</b>	<ul style="list-style-type: none"><li>• Contents of the Rules and Code of Conduct</li><li>• Regulatory obligations of the firm</li></ul>
<b>Conduct Rules in the context of the firm</b>	<ul style="list-style-type: none"><li>• Conduct, values and culture</li><li>• Conduct and discipline</li><li>• The firm's approach to learning and development</li></ul>
<b>The messages to communicate</b>	<ul style="list-style-type: none"><li>• Relevance of the Rules</li><li>• Identifying case material from within the firm</li><li>• Capitalising on market and enforcement case examples</li></ul>
<b>The delivery environment</b>	<ul style="list-style-type: none"><li>• Conduct Rules at induction</li><li>• Blended learning</li><li>• Group and individual training – face-to-face</li><li>• Integration into regular supervisory activity and performance management</li></ul>
<b>Achieving learner engagement</b>	<ul style="list-style-type: none"><li>• Positioning the message</li><li>• Use of questions Learners' personal experience</li><li>• Case material to assist understanding</li><li>• Verifying understanding and application</li></ul>
<b>Making it real</b>	<ul style="list-style-type: none"><li>• Handling pushback</li><li>• Implications of personal accountability</li><li>• Supervisory underpin to continuing understanding</li></ul>