

# Conduct Rules & the Consumer Duty

***- Preparing your staff for their responsibilities -***

## Course outline and objectives

All firms involved in retail business have a significant amount of work to do to ensure that they will meet their obligations under the Consumer Duty by the end of July 2023. An essential aspect of these preparations is to ensure that all staff throughout the organisation are fully aware of their personal responsibilities under the Duty. Thus relevant and role-specific training will be called for, as well as ensuring that everyone subject to the Conduct Rules understands how the new Conduct Rule will impact their role.

This focused workshop will help firms meet the challenge of delivering relevant, effective and engaging Consumer Duty and Conduct Rules training across their organisations.

*Attending this practical workshop will help you:*

1. **Bring the Consumer Duty to life** and make it relevant for your staff
2. **Achieve buy-in to the Consumer Duty** from all levels in the firm
3. Highlight the role of the **Conduct Rules in delivering Conduct Duty obligations**
4. **Position the new Conduct Rule 6 in the context of your firm's style** and approach to business
5. Recognise **what the regulators expect** of firms and senior managers to ensure their staff **understand their obligations** under the Consumer Duty
6. Apply appropriate **methods for conducting successful training** about the **Consumer Duty**
7. Take steps to **ensure understanding of the Consumer Duty** relevant to individual job roles.

## Dates and Fees

25 April 2023  
09.30 to 12.00  
Live Online

Delegate fee:  
£475 plus VAT

***Savings available for  
multiple registrations***

## To book

Visit:  
[www.ctp.uk.com](http://www.ctp.uk.com)

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Call:  
**0330 303 9779**

**CPD**  
**3**  
**HOURS**

## Who will benefit?

This practical workshop has been designed to equip **Line Managers** and **Supervisors** with the tools and techniques needed to deliver relevant training about the Consumer Duty to their colleagues. 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 training arrangements in preparation for the Consumer Duty.

This course is suitable for participants from both dual-regulated (PRA and FCA) and solo-regulated (FCA) firms which will be in scope to the Consumer Duty.

## 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 Leader

**Charles Cattell** is a consultant and training practitioner with extensive expertise across the finance 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 people risk, competence and expertise and 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 Consumer Duty</li> </ul>
<b>What is the Consumer Duty?</b>	<ul style="list-style-type: none"> <li>• The Consumer Principle</li> <li>• Cross-cutting rules</li> <li>• The four customer outcomes</li> <li>• Scope of the Duty</li> <li>• Implementation timelines</li> </ul>
<b>What is expected of firms?</b>	<ul style="list-style-type: none"> <li>• The approach to be adopted</li> <li>• Revisions to operational policies and procedures</li> <li>• Monitoring and reporting</li> <li>• Overall governance arrangements</li> <li>• Governance and cultural considerations</li> </ul>
<b>What is expected of individuals?</b>	<ul style="list-style-type: none"> <li>• Complying with Conduct Rule 6</li> <li>• Reflecting the firm's obligations</li> <li>• Questioning, challenging and speaking-up</li> <li>• The role of leaders</li> </ul>
<b>Delivering the messages</b>	<ul style="list-style-type: none"> <li>• Expectations arising from the Consumer Duty</li> <li>• Introducing the Consumer Duty at induction</li> <li>• Meeting personal obligations</li> <li>• Clarifying what is reasonable and proportionate</li> <li>• Case illustrations to assist understanding</li> </ul>
<b>Achieving learner engagement</b>	<ul style="list-style-type: none"> <li>• Positioning the message</li> <li>• Delivery methodologies</li> <li>• Capitalising on learners' personal experiences</li> <li>• Verifying understanding and application</li> </ul>
<b>Embedding the learning</b>	<ul style="list-style-type: none"> <li>• Handling pushback</li> <li>• Implications of personal accountability</li> <li>• Integration into regular supervisory activity and performance management</li> <li>• Striving for exemplary conduct</li> </ul>

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