



AFB WORKSHOP: LOOKING AT CONDUCT THROUGH THE LENS OF CULTURE

WEDNESDAY 20 SEPTEMBER 2023

A ONE DAY TRAINING COURSE EXCLUSIVE TO AFB MEMBERS

With FCA fines still being issued for a wide range of conduct breaches, is the financial services industry rebuilding trust or is there more to be done?

The increasingly intrusive regulatory regime signals the need for firms' Boards and senior management to ensure that good outcomes for consumers are central to their firm's culture, strategy, and business objectives. The new Consumer Duty sets even higher expectations for the standard of care firms give to consumers. With this in mind, we have to ask as leaders, how aware are firms of the unintentional misconduct that could be caused by our organisational culture?

The FCA states that 'culture in Financial Services is widely accepted as a key root cause of the major conduct failings' so we are offering this training course to help our members better understand the conduct risks their firm may be subject to, how to measure them and deploy strategies to mitigate and address these risks.

This one-day course, delivered in partnership with **Wharton Business Consulting**, consists of plenaries, interactive exercises and key takeaways to reinforce learning and allow delegates to use the knowledge gained in their day-to-day roles.

COURSE OVERVIEW

The course will take place over a full day in London and is split into 3 modules, each designed around its specific subject matter and made up of:

- **Workshops** – a mix of plenary, breakouts and group exercises. Content will focus on bringing the subject to life through case studies and industry examples. This session will be highly interactive, and all participants can expect to be able to share and discuss ideas and experiences.
- **Key takeaways** – delegates will receive a summary take away, containing core content, models and suggested further reading.
- **On the job challenges** – after the event, delegates will be set a series of short challenges for them to complete in the workplace over the coming month. This will help to bring the learning to life and cement understanding and application to the job.

MODULE	KEY THEMES
Conduct Risk Awareness	<ul style="list-style-type: none">• Building awareness of conduct risk, including the new consumer duty• How do you define conduct risk (both intentional and unintentional) and how does it align with organisational culture?

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- Where does conduct risk sit within the overall risk landscape?
 - Who is responsible for conduct risk?
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Conduct Risk Measurement

- How to effectively measure conduct risk
 - How can conduct risk and culture be measured in a holistic way?
 - What controls can be used to mitigate conduct risk?
 - What are the common pitfalls in conduct risk measurement?
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Conduct and Behaviour Change

- How to drive sustainable changes in behaviour using practical examples to bring it to life
 - What tools and methods can be used to drive a shift in behaviour?
 - Which conduct risk challenges can these tools and methods be applied to?
 - What conditions are required to create sustainable behaviour change?
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LEARNING OUTCOMES

This AFB Conduct Risk Training Course is designed to offer a thorough understanding of how to identify, measure and mitigate conduct risk with a keen focus on how it links to culture. The course takes a holistic view of conduct risk and is aimed at all functions, with a particular interest for risk, compliance and HR professionals, as well as those who are wishing to gain a deeper understanding of how they can minimise the conduct risks their organisation or function may be exposed to.

By the end of the course, you should be able to:

- Articulate what conduct risk is (both intentional and unintentional) and how it relates to culture.
 - Understand how to define/refine a conduct risk framework for your organisation.
 - Recognise the links between conduct and other forms of risk.
 - Understand how to build awareness of conduct risk within your team.
 - Articulate a best practice approach to conduct risk measurement.
 - Articulate an approach to assess risks, map controls and identify metrics to measure impact.
 - Articulate common pitfalls in conduct risk measurement.
 - Understand tools and methods to drive behavioural change.
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- Relate tools and methods to your unique organisational conduct challenges.

ABOUT WHARTON BUSINESS CONSULTING

Wharton Business Consulting is an award-winning consultancy focused on creating lasting change to maximise and organisations' potential through their people. With decades of Financial Services experience they have supported a range of banks to design and implement Conduct Risk Frameworks and Governance models to embed compliant working practices and measure culture and conduct. They have received acclaim for their unique approach to linking conduct and culture from industry bodies and clients alike.



Natalie Wharton (Founder and CEO) is a recognised thought leader on culture, conduct risk and leadership regularly taking part in industry panels and masterclasses, including the FCA Culture Sprint and the FCA Panel on 'Leading healthy cultures in a post-Covid World'. Having previously held the position of Head of Culture Change for Deloitte she has a passion for sharing insights across organisations to create a more ethically sound and resilient financial services industry.

LOGISTICS

Venue: In-person, ETC Venues, Bonhill House, 1-3 Bonhill St, London, EC2A 4BX

Date: Wednesday 20 September 2022

Time: 09:15 – 17:00 (Registration, refreshments and light breakfast from 09:00).

BOOKING INFORMATION

[Book your place online](#)

For further information, please contact:
secretariat@foreignbanks.org.uk

PRICING

AFB Members: £945 plus VAT (breakfast, snacks, lunch and drinks will be provided throughout the day).

Course limited to 20 participants