



AFB WORKSHOP: LOOKING AT CONDUCT THROUGH THE LENS OF CULTURE

THURSDAY 15 SEPTEMBER 2022

A NEW ONE DAY TRAINING COURSE EXCLUSIVE TO AFB MEMBERS

With FCA-fines hitting a record high in 2021 can we really just blame a few 'bad apples' for the erosion of trust in financial services firms? Or do we each have an obligation to consider how our own organisational culture, **no matter how positive**, could be leading towards **unintentional misconduct**?

With the FCA recognising that 'culture in Financial Services is widely accepted as a key root cause of the major conduct failings', we are offering this **one day** training course, **Looking at Conduct through the Lens of Culture**. The course will help AFB members better understand the conduct risks their firm may be subject to; how these have evolved during and beyond the pandemic and how to measure and address conduct risk.

This course is delivered in partnership with **Wharton Business Consulting**, experts in Conduct and Culture.

COURSE OVERVIEW

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

- **Workshops** – a mix of plenary, polling, 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?• Where does conduct risk sit within the overall risk landscape?• Who is responsible for conduct risk?

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?


Conduct and Behaviour Change

- How to drive sustainable changes in behaviour
- 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?

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.
 - Relate tools and methods to your unique organisational conduct challenges.
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ABOUT WHARTON BUSINESS CONSULTING

Wharton Business Consulting is an award-winning consultancy focused on creating lasting change through culture and people, to maximise their clients' competitive edge. 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 Managing Director) 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 most recently 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 in the City (location TBC nearer the time)

Date: Thursday 15 September 2022

Time: 09:30 – 17:00 (Registration and refreshments from 09:00).

Breakfast, snacks, lunch and drinks will be provided throughout the day.

BOOKING INFORMATION

Book your place online

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

PRICING

AFB Members: £925 plus VAT

Course limited to 20 participants