



# LOOKING AT CONDUCT THROUGH THE LENS OF CULTURE

## A NEW THREE-PART TRAINING COURSE EXCLUSIVE TO AFB MEMBERS

With FCA-fines hitting a four year high in 2019 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 three-part 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 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:

Each module is designed around its specific subject matter, all three will follow the same format:

- Workshop – each two-hour workshop will take place virtually and be made up of a mix of plenary, polling, breakouts and group exercises. Content will focus on bringing the subject to life through case studies and industry examples.
- Key takeaways – delegates will receive a summary take away from each session, containing core content, models and suggested further reading.
- On the job challenges – between each session delegates will be set a short challenge to bring the learning to life and feed into the next session.

<u>Module</u>	<u>Key Themes</u>
<b>Conduct Risk Awareness</b> 4 May 2021 10:00-12:00	<ul style="list-style-type: none"><li>• Building awareness of conduct risk</li><li>• How do you define conduct risk (both intentional and unintentional) and how does it align with organisational culture?</li><li>• Where does conduct risk sit within the overall risk landscape?</li><li>• Who is responsible for conduct risk?</li></ul>
<b>Conduct Risk Measurement</b> 18 May 2021 10:00-12:00	<ul style="list-style-type: none"><li>• How to effectively measure conduct risk</li><li>• How can conduct risk and culture be measured in a holistic way?</li><li>• What controls can be used to mitigate conduct risk?</li><li>• What are the common pitfalls in conduct risk measurement?</li></ul>

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**Conduct and Behaviour Change**

27 May 2021

10:00-12:00

- 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 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.

## 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.

## FURTHER INFORMATION

For further information and to book your place please contact: [secretariat@foreignbanks.org.uk](mailto:secretariat@foreignbanks.org.uk)

## PRICING

AFB Members £900 plus VAT.  
Course limited to 20 participants