



How to become a Compliant & Responsible Supervisor

Core Details

9.30am — 12.30pm
City of London

 3 CPD Hours

To Book

Call
+44 (0)204 551 8568
(Please choose option 2)

Email
info@thezishi.com

Online
thezishi.com

Your Consultant Richard Galley

Richard worked for Bupa for over 20 years until 2011, where his career spanned a diverse range of senior management roles covering customer service, business operations, commercial strategy/policy development, risk management and regulatory compliance – alongside the ‘day-job’ he was also heavily involved in leadership development, coaching and mentoring.

From early 2011 to May 2018 Richard was a freelance consultant specialising in the areas of regulatory compliance and learning and development before joining FSTP, as Director of Learning, in June 2018.

With Certification looming large on the horizon, this is the time to ensure that your supervisors of staff really understand what is required of them. Firms will be delegating day to day management of people to team leaders, heads of desk, departmental heads but the FCA will be looking at organisational charts to understand who is carrying the can for ensuring staff behaviours are aligned to their expectations.

Whilst supervising others is always a challenge when you are trying to manage your own role and support a team, understanding your responsibilities and the regulatory requirements of being a supervisor, will help to embed the fundamentals into your day to day working.

We know from experience that too often supervision and competence assessment are viewed as a “tick box exercise” using tools such as annual appraisals or file reviews to establish competency but this isn’t sufficient to the regulator or supportive of the long term future of a business.

This three hour practical workshop will provide you with ideas for ensuring competent and effective supervision by drawing on your knowledge of your people and established activities which can be used to evidence your impact.

Benefits

Attending this event will enable you to:

- Understand the regulatory responsibilities you have as a supervisor
- Be able to differentiate between assessing and monitoring on-going competence in your staff
- Recognise the importance of providing coaching and mentoring
- Recognise the business benefits of providing effective supervision
- Take away key actions and ideas to improve upon your supervisory interactions

Who should attend

Anyone working in regulated financial services firms, who is responsible for the management of people, irrespective of their role.



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Agenda

Cost

£395 / person + VAT £474

A discount of 10% per person is available when booking for 2 or more delegates on the same course in a single booking.

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In-house Course?

This course works well as an in-house event, contact us to discuss your needs on 0204 551 8568 or email info@thezishi.com



ZISHI Cornerstone



The CPD Standards Office
CPD PROVIDER: 21020
2016 - 2018
www.cpdstandards.com



Session	Content
<p>Changing roles and responsibilities of a supervisor</p> <p>- To understand the regulatory background and framework for supervision</p>	<ul style="list-style-type: none"> • Landscape changes of supervision and how Certification is set to increase pressure upon supervisors • Links to TCF and wider issues for the firm and senior managers (Compliance monitoring and senior managers oversight) • Spans of control • Supervision in practice - Changing levels of necessary supervision
<p>Assessing competence</p> <p>- To understand the regulatory background and framework for supervision</p>	<ul style="list-style-type: none"> • Process for attaining competence • Using the ORCE model to capture evidence
<p>Monitoring competence</p> <p>- To understand the importance of monitoring competence</p> <p>- To describe the types of activity which can be used as evidence</p>	<ul style="list-style-type: none"> • Benefits of monitoring • Risk based format for establishing appropriate levels of supervision • Activities which can be used to provide evidence of monitoring
<p>Reviewing performance</p> <p>- To recognise the importance of appraisals and how these are used as a tool</p>	<ul style="list-style-type: none"> • Using the performance appraisal as part of supervision • Using the SMART model to save you time
<p>Developing competence through coaching</p> <p>- To understand the benefits of coaching to develop individuals</p>	<ul style="list-style-type: none"> • Coaching using the GROW to save time and improve performance
<p>Review and action plan</p> <p>- To consolidate the learning and how this will be put into practice</p>	<ul style="list-style-type: none"> • What do you have to do differently and how will you start