



Managing T&C in a Hybrid World

Core Details

9.30am — 12.30pm



3 CPD Hours

To Book

Call

+44 (0)204 551 8568

(Please choose option 2)

Email

info@thezishi.com

Online

thezishi.com

Your Consultant

Philippa Grocott

Philippa is Head of Regulatory Sales and Apprenticeships at ZISHI Cornerstone. Formerly a Partner at FSTP and Head of Learning for Barclays Direct Channels, she brings to the role extensive experience of managing a major training function covering all of the people aspects of financial advice, mortgages and general insurance.

She has also had a highly successful career in regulated sales and sales management which gives her the strong customer focus and business awareness which is much appreciated by clients.

She writes articles for various financial service publications on Training & Competence issues as well as areas of current regulatory focus and concern.

What would the regulator think about your firm's training and competence policies? Have they been adapted for the new world in which we work?

The impact of Covid has meant that homeworking or a hybrid of office and homeworking is going to be the norm for the foreseeable future, but training and competence requirements have not changed – how do you ensure you have acceptable evidence that your people are and have remained competent whilst working remotely?

You must be able to prove (to an intrusive regulator) that your T&C policies mitigate risk and promote professionalism.

This is about more than just compliance, it's about genuinely improving business standards. A good T&C programme helps your firm retain its best staff and attract new talent. A poor one can expose your business to accusations of misconduct and financial penalties especially under SMCR.

With limited guidance from the regulator, establishing a robust framework is a challenge. **This 3 hour course will help you develop the policies and processes you need to ensure your people reach and maintain competence in this hybrid world:**

- Understand the regulator's mind-set and the practical applications of T&C
- Learn how to assess and maintain competence on a continuous basis
- Recognise the role of the regulated supervisor and apply it to senior managers and directors
- Integrate compliance best practice into your business strategy

Gain confidence in your T&C framework

Protect your workforce – Employees rarely set out to break the rules. More often than not, compliance issues occur because individuals are simply unaware of the latest regulation. A well-structured training regime will help keep them up-to-speed with the rules and safe from compliance failures.

Drive up standards of professionalism – A successful T&C regime is one that's easily interpreted by both the workforce and the regulator. Introducing measurable targets will promote self-assessment among your staff, encouraging them to raise their game.

Attract and retain the best staff – Personal development is a key incentive to



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Cost

£395 / person + VAT £475

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



high-performing individuals, so a competitive training programme helps attract new talent. And a formal T&C regime will embed a culture of learning, helping you protect and retain your best people.

Prove you put customers first – Ethics and standards of behaviour are one of the regulator's top priorities. Your firm needs to demonstrate that customers are at the heart of its strategy, so a watertight approach to staff assessment and monitoring is essential.

At the end of this workshop you will have:

- A T&C Health Check Audit (questionnaire)
- A T&C framework
- Code of conduct examples

Agenda

Session	Content
The regulatory requirements in a hybrid world	<ul style="list-style-type: none"> • The FCA's expectations • Who's affected and how? • Setting standards for continuing professional development (CPD)
Demonstrating and evidencing competence (when remote working is the norm)	<ul style="list-style-type: none"> • Understanding competence in a hybrid working world • What the regulator expects of supervisors • How to assess a supervisor's competence • What "good" looks like in practice • Case study – Supervisor competency assessment
Reviewing policy and identifying improvement	<ul style="list-style-type: none"> • Identifying the key elements for an effective T&C framework • Which elements of your T&C regime need to change? • Are current key performance indicators fit for purpose? • Exercise – Self assessment of your T&C regime

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