Core Details
9.30am — 5.00pm
City of London
6 CPD Hours

To Book
Call
0203 178 4230
Email
stuart.bull@fstp.co.uk
Online
fstp.co.uk

Your Consultant
Paula Sullivan
With over 20 years in the financial services industry Paula is a highly experienced, self-motivated professional with a detailed regulatory, risk and compliance knowledge. Having worked with Bristol & West then Axa Wealth her breadth of experience means she can engage audiences with best practice examples and a working knowledge of the regulators expectations. Paula has a detailed knowledge of the FCA Training & Competence regime, through implementation of new schemes and review of existing procedures with firms. She has coaching and developed financial advisers to achieve and maintain Competent Adviser Status. Most recently as a Consultant, Paula has provided para-planning services for Investments, Pensions, Protection, IHT and Long Term Care, as well as quality assurance reviews of client sales for Wealth, M and IFA firms.

Managing Training and Competence in a Regulated Environment

What would the regulator think about your firm’s training and competence policies? This course helps you meet and maintain expected standards

Compliance failures are often put down to staff competence. High profile cases have uncovered chief execs operating with no knowledge of the latest regulation. The FCA has sharpened its focus on training and competence (T & C) as a result.

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 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.

With limited guidance from the regulator, establishing a robust framework is a challenge. This one-day course will help you develop the policies and processes you need to ensure your people reach and maintain competence:

- 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 high-performing individuals, so a competitive training programme helps attracts new talent. And a formal T & C regime will embed a culture of learning, helping your 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.
Managing Training and Competence in a Regulated Environment

**Cost**

£595 / person + VAT £714

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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### Agenda

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<th>Session</th>
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<td><strong>The impact of higher standards of professionalism</strong></td>
<td>• How new standards affect advisers, supervisors and SIFs&lt;br&gt;• Evidencing competence and improving ethics&lt;br&gt;• Setting standards for continuing professional development (CPD)</td>
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<td><strong>The transition to new advice models</strong></td>
<td>• Competence in a post RDR world&lt;br&gt;• Managing new talent in the financial adviser role&lt;br&gt;• Investing in skills development</td>
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<td><strong>Reviewing policies and identifying improvements</strong></td>
<td>• Which elements of your T&amp;C regime need to change?&lt;br&gt;• Are current key performance indicators fit for purpose?&lt;br&gt;• Case Study: Setting better indicators</td>
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<td><strong>Ensuring competent supervision</strong></td>
<td>• Understanding the regulator’s expectations&lt;br&gt;• What “good” looks like in practice&lt;br&gt;• Competence requirements for supervisors&lt;br&gt;• How to assess a supervisor’s competence</td>
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<td><strong>New CPD requirements: rising to the challenge</strong></td>
<td>• Establishing a CPD policy and allocating responsibility&lt;br&gt;• Top tips for aligning CPD with your business strategy&lt;br&gt;• Exercise: Understanding what counts towards CPD hours</td>
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<td><strong>Statements of Professional Standing (SPS)</strong></td>
<td>• An overview of accredited bodies&lt;br&gt;• Obtaining and renewing SPS on a continuous basis&lt;br&gt;• Recognising eligibility criteria&lt;br&gt;• The repercussions of failure to obtain SPS</td>
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<td><strong>Understanding the FCA’s approach to T&amp;C</strong></td>
<td>• An intensive approach to training and competence&lt;br&gt;• Looking for clues in the Risk Outlook</td>
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**In-house Course?**

This course works well as an in-house event, contact us to discuss your needs on 0203 178 4230 or email info@fstp.co.uk

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