Conduct Risk - Supervision and Remediation Training Course

Professional Development Training Course Outline

Category	Risk Management	**Duration**	5 Days
Base Fee	$1,500 USD	**Delivery Mode**	Online / On-site Hybrid

Course Introduction

The modern financial landscape is increasingly defined by intense regulatory scrutiny and an absolute imperative for firms to demonstrate an embedded ethical culture. Poor conduct, which can range from mis-selling products to failures in consumer protection, has repeatedly led to catastrophic financial penalties, significant reputational damage, and a critical erosion of customer trust. Conduct Risk - Supervision and Remediation Training Course is explicitly designed to equip compliance professionals, risk managers, and supervisors with the advanced knowledge and practical tools necessary to not only effectively supervise and monitor conduct risk but also to lead robust remediation programs when failures inevitably occur. The focus is on moving beyond mere box-ticking compliance to fostering a genuine, proactive conduct risk framework that supports sustainable business practices and delivers consistently good customer outcomes. The increasing focus on individual accountability regimes, such as SM&CR and IAF, makes a structured, strategic approach to supervision and remediation non-negotiable for senior leaders.

This intensive program provides a deep dive into the practical application of Conduct Risk governance, focusing heavily on predictive Management Information (MI) and effective supervisory techniques that drive positive behavioral change. Participants will master the art of investigating conduct failings, establishing clear root cause analysis (RCA), and designing scalable, effective remediation plans that satisfy both regulatory expectations and internal governance standards. Through a combination of expert-led instruction, interactive simulations, and analysis of high-profile real-world case studies, this training ensures that attendees can immediately implement best practices in their organizations, strengthening the Three Lines of Defence model and building a resilient, ethical financial institution.

Programme Curriculum

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Course Duration

5 days

Course Objectives

1. Define and contextualize the contemporary Conduct Risk Taxonomy within the global financial services sector.
2. Master the principles of Proactive Risk Identification and the use of Predictive MI for early warning signals.
3. Develop and implement a robust, Outcome-Based Conduct Risk Framework focused on Consumer Duty
4. Apply effective Supervisory Techniques to monitor front-line staff behavior and address emerging behavioral risks.
5. Conduct thorough Root Cause Analysis (RCA) for conduct failures, moving beyond symptoms to systemic issues.
6. Design and execute Conduct Risk Remediation Programs that are fair, transparent, and scalable.
7. Understand the impact and requirements of Individual Accountability Regimes on senior management responsibilities.
8. Assess and enhance the Organizational Culture to embed ethical conduct and deter misconduct.
9. Integrate Conduct Risk with broader Operational Resilience and Enterprise Risk Management (ERM) frameworks.
10. Evaluate and govern Third-Party Conduct Risk within supply chains and outsourcing arrangements.
11. Implement Data-Driven Compliance strategies using advanced RegTech and AI for continuous monitoring.
12. Manage the end-to-end process for handling Vulnerable Customers and ensuring fair treatment.
13. Report effectively on Conduct Risk Governance and remediation status to the Board and Regulators.

Target Audience

1. Compliance Officers and Managers
2. Risk Managers
3. Supervisors and Front-Line Managers
4. Internal and External Audit Professionals
5. Legal and Regulatory Affairs Specialists
6. Heads of Customer Experience and Complaints
7. Members of the Three Lines of Defence functions
8. Senior Managers subject to Individual Accountability regimes

Course Modules

1. Defining and Governing Conduct Risk in a New Era

- The evolution of Conduct Risk Taxonomy and its distinction from Operational Risk.
- Consumer Duty, TCF, and global supervisory expectations.
- Establishing a Conduct Risk Appetite Statement and key risk indicators.
- Integrating conduct oversight within the Three Lines of Defence model.
- Case Study: Mis-selling Scandal

2. Proactive Supervision and Behavioral Risk

- Techniques for Proactive Monitoring of sales and advisory practices.
- Identifying and addressing Behavioral Drivers of misconduct
- Developing Predictive MI and data analytics for early identification of outlier behavior.
- The role of the supervisor in coaching and immediate behavioral correction.
- Case Study: Unauthorised Account Opening.

3. Individual Accountability and Culture

- Deep dive into SM&CR/IAF and its implications for certified and senior managers.
- Mapping Responsibilities and documenting Reasonable Steps to prevent conduct breaches.
- Techniques for assessing and measuring Organizational Culture and its link to conduct outcomes.
- Designing effective Training and Awareness Programs focused on ethical decision-making.
- Case Study: Senior Manager Enforcement Action.

4. The Vulnerable Customer Imperative

- Defining and identifying Vulnerable Customers across different financial contexts.
- Implementing mandatory safeguards in Product Design and Distribution.
- Training staff on empathetic and effective communication with vulnerable individuals.
- Compliance with specific regulatory guidance on handling vulnerable customers.
- Case Study: Debt Collection Practices.

5. Incident Management and Root Cause Analysis (RCA)

- The lifecycle of a Conduct Risk Incident and rapid response protocols.
- Conducting effective Incident Investigation with legal and compliance oversight.
- Applying structured Root Cause Analysis methodologies to systemic failures.
- Distinguishing between process failures, control failures, and cultural/behavioral root causes.
- Case Study: Data Integrity/System Failure.

6. Designing and Implementing Remediation Programs

- Principles of Fair and Timely Customer Remediation and redress.
- Developing a robust Remediation Plan covering scope, methodology, and quantum calculation.
- Governance of the remediation process, including independent assurance and quality control.
- Communication strategy with affected customers, regulators, and the public.
- Case Study: Customer Compensation Scheme.

7. Third-Party and Market Conduct Risk

- Extending the Conduct Risk Framework to Third-Party Vendors and outsourced functions.
- Due diligence and ongoing monitoring for conduct-related risks in supply chains.
- Supervision of Wholesale Market Conduct
- Controls to prevent conflicts of interest and insider dealing.
- Case Study: Vendor Misconduct.

8. RegTech and Future Trends in Conduct Risk

- Leveraging Artificial Intelligence and Machine Learning for conduct surveillance and sentiment analysis.
- Implementing Continuous Control Monitoring and automated compliance checks.
- The future of Digital Conduct Risk management in online and mobile channels.
- Preparing for evolving regulations on ESG and Ethical Finance.
- Case Study: Algorithmic Bias.

Training Methodology

This course employs a participatory and hands-on approach to ensure practical learning, including:

- Interactive lectures and presentations.
- Group discussions and brainstorming sessions.
- Hands-on exercises using real-world datasets.
- Role-playing and scenario-based simulations.
- Analysis of case studies to bridge theory and practice.
- Peer-to-peer learning and networking.
- Expert-led Q&A sessions.
- Continuous feedback and personalized guidance.

Register as a group from 3 participants for a Discount

Send us an email: info@fineskilltrainingcenter.org or call +254769199797

Certification

Upon successful completion of this training, participants will be issued with a globally- recognized certificate.

Tailor-Made Course

We also offer tailor-made courses based on your needs.

Key Notes

a. The participant must be conversant with English.

b. Upon completion of training the participant will be issued with an Authorized Training Certificate

c. Course duration is flexible and the contents can be modified to fit any number of days.

d. The course fee includes facilitation training materials, 2 coffee breaks, buffet lunch and A Certificate upon successful completion of Training.

e. One-year post-training support Consultation and Coaching provided after the course.

f. Payment should be done at least a week before commence of the training, to Fineskill Training Center account, as indicated in the invoice so as to enable us prepare better for you.

Upcoming Scheduled Sessions

Start Date	End Date	Location	Price
21 Sep 2026	25 Sep 2026	Online	$1,000
21 Sep 2026	25 Sep 2026	Physical	$1,500
21 Sep 2026	25 Sep 2026	Physical	$0
21 Sep 2026	25 Sep 2026	Physical	$0
21 Sep 2026	25 Sep 2026	Physical	$0
21 Sep 2026	25 Sep 2026	Physical	$0
21 Sep 2026	25 Sep 2026	Physical	$0
21 Sep 2026	25 Sep 2026	Physical	$0

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