

CII-Accredited Session 1 – Does compliance have a voice at your firm?

Independent perspective and challenge

By the end of this session delegates will be able to:

- Explain the role of boards and senior management in evidencing effective decisions.
- Articulate how independent non-executive directors (INEDs), board observers and third parties can enhance decision making.
- Describe the importance of compliance as a voice within the organisation and ensure it can be heard.

CII-Accredited Session 2 – What can happen if the FCA identifies shortcomings in your firm's product oversight and governance arrangements

FCA case study

By the end of this session delegates will be able to:

- Articulate how the FCA approaches its thematic work, and the steps involved.
- Explain how this impacts on firms and their ability to serve when things go well.
- Describe the possible outcomes when things don't go so well.

CII-Accredited Session 3 - Compliance Q&A

UKGI Ltd Managing Director, Nikki Bennett, will lead a panel Q&A session to answer questions arising from the topics of the day

By the end of this session delegates will be able to:

- Describe the importance of challenging current thinking around key market considerations and areas of FCA focus.
- Apply the insights arising from the key regulatory issues.

Optional Breakout Sessions (CII-Accredited)

Optional session 1 – Fair Value Assessments - how to demonstrate your products and services offer value for money

By the end of this session delegates will be able to:

- Explain what a customer-centric approach to fair value means, and how to apply it to your Fair Value Assessment (FVAs).
- Demonstrate the steps to take in providing good outcomes and demonstrating fair value through your FVAs.
- Describe how to complete fair value assessments.

Optional session 2 – Constructing your next Consumer Duty Board report, including the use of root cause analysis to turn complaints and grumbles into a gift

By the end of this session delegates will be able to:

- Explain the importance of the 'Board pack' to support the Board report.
- Identify the key staff and management to assist in creating the supporting MI and evidence.
- Describe the end-to-end, year-round process of building a good Board report.

Optional session 3 – Vulnerable customers – A "catch-all" approach simply won't do

By the end of this session delegates will be able to:

- Explain the types of vulnerability data the FCA expects firms to collect and track.
- Describe how to evidence that this data is considered, debated, and consistently acted on.
- Assess the current approach within your firms.