

# CCR - CERTIFICATE IN CONDUCT RISK

## Day 1

Introduction to Conduct Risk, Its Components, Drivers, Implementation Steps & Associated Challenges

1.1 Definition and Concept of Conduct Risk

1.2 What is Risk Culture and Introduction Why is Conduct Risk in the Spotlight?

1.3 Why is Conduct Risk important in the current global context? 1.4

Team Exercise: How Conduct Risk fits into Risk Culture? Brainstorming. Practical Workshop - Formulating Conduct Risk implementation actions - What should be done to manage Conduct Risk by your organization?

1.5 Conduct Risk Components

1.6 Relationship Between Conduct and Culture

1.7 What Drives Conduct Risk? Eight Key Conduct Risk Drivers - A Detailed Look into the Drivers

1.8 Team Exercise: Developing Conduct Risk Metrics to monitor Conduct Risk in your organization

1.9 What is the role of the Board & Senior Management Regime in the management of Conduct Risk?

1.10 Main Steps in Conduct Risk Institutionalization

1.11 Foundation Elements of a Strong Risk Culture

1.12 Q&A Session and Key Takeaways from Day 1

## Day 2

Conduct Risk Framework & Policy, Its Components, Conduct Risk Appetite, Role Of Technology & Operational Risk

2.1 Defining the Scope for an Enterprise Conduct Risk Framework

2.2 Conduct Risk Framework Components & Implementation

2.3 Role of Technology and How Technology can help in better managing Conduct Risk

2.4 Recent Costs of Remediation Due to Conduct Risk Failures 2.5 Conduct Risk Appetite - Is there an Optimal Level for Conduct Risk?

- 2.6 Team Exercise: Determining root causes of bad conduct. An interactive deep dive session looking into root cause analysis of misconduct.
- 2.7 How can Operational Risk play a role in Conduct Risk Enforcement and Management
- 2.8 Operational Risk metrics (People, Process & Systems) that can assist organizations in the monitoring of conduct risk breaches.
- 2.9 Role of Internal audit and monitoring process in enforcing Conduct Risk
- 2.10 Role of establishing defined timelines and responsibilities in the implementation of an effective Conduct Risk framework.
- 2.11 Q& A Session and Key Takeaways from Day 2

## Day 3

### Regulatory Landscape Around Conduct Risk - Trends And Key Developments – Role Of Human Resources In Managing Conduct Risk

- 3.1 Regulatory Landscape Around Conduct Risk
- 3.2 Enforcement for Misconduct by Top 15 Global Regulators (2012-2018)
- 3.3 Top three sectors most frequently fined for Misconduct
- 3.4 Frequency of financial penalties for misconduct by Service Line
- 3.5 Expectations from Regulators going Forward
- 3.6 Team Exercise: Brainstorming Future Emerging Challenges Around Conduct Risk based on Historical Experience and Regulatory Experiences
- 3.7 Talent management – Key Considerations in HR Management to drive better Conduct Risk Outcomes
- 3.8 Remuneration, Reward & Incentivisation - Significance of an effective reward structure to promote an effective risk culture for the management of conduct risk
- 3.9 Role of Whistleblowing in the enforcement of Conduct Risk Management
- 3.10 Role of Performance Management and its linkage to Accountability in the Management of Conduct Risk
- 3.11. Role of Training and Development in Conduct Risk Management
- 3.12. Team Exercise: How can Human Resource Management assist in enforcing Conduct Risk?
- 3.13 Q& A & Key Takeaways from Day 3

## Day 4

Case Studies On Conduct Risk: Key Misconduct Events And Its Relationship To Conduct Risk.

Role Of Key Risk Management Reporting For Management Of Conduct Risk Including A Look At Artificial Intelligence In Management Of Conduct Risk

4.1 The Case of Wells Fargo

4.2 Team Exercise: Key Lessons from the WellsFargo Case. Actions that institutions could take to prevent situation arising

4.3 Australian Royal Commission Investigations into Misconduct

4.4 Team Exercise: What could have prevented the Australian financial services sector not being scrutinized by the Australian Royal Commission

4.5 LIBOR manipulation

4.6 PPI Misselling (UK)

4.7 Case Studies - Q&A: What are the key lessons learnt from the case studies?

4.8 Types of Risk Reports for the Management of Conduct Risk

4.9 Q&A: What should Risk Reports include in managing Conduct Risk

4.10 Key data elements that should form part of conduct risk reporting

4.11 Role of an integrated Enterprise Risk Reporting System for the Management of Conduct Risk

4.12 Role of Artificial Intelligence (AI) in improving risk reporting for management of Conduct Risk

4.13 Ownership of Risk Reporting

4.14 Q&A and Key Takeaways from Day 4

## Day 5

Management of Conduct Risk

5.1 Controls and Effective Strategies for Mitigation and Management of Conduct Risk including role of fair treatment of customers

5.2 Exercise: To What Extent can Internal Audit play a major role in enforcing Conduct Risk

5.3 Tools for Firms/Organizations mitigating Cultural Drivers of Misconduct

5.4 Best Practices for Managing Conduct Risk

5.5 Proactive vs Reactive Approaches in Managing Conduct Risk

- 5.6 Role of the Board, CEO and CRO in managing Conduct Risk
- 5.7 Developing a strategic plan for the management of Conduct Risk
- 5.8 Dynamic Vs Static Approach to Conduct Risk
- 5.9 Incorporating Effective Fraud Risk Management for the Management of Conduct Risk
- 5.10 Role of KYC and AML in Good Conduct Risk Management
- 5.11 Management of Conflict in the Management of Conduct Risk
- 5.12 Closing Remarks & Conclusion
- 5.13 Interactive Discussion and Q&A – Key Takeaways from the Conduct Risk Program Course Evaluation and Certificate Handouts